



HEALTH QUARTERLY STATEMENT

AS OF SEPTEMBER 30, 2019  
OF THE CONDITION AND AFFAIRS OF THE

Humana Health Plan, Inc.

NAIC Group Code01190119NAIC Company Code95885Employer's ID Number61-1013183  
(Current)(Prior)

Organized under the Laws ofKentucky, State of Domicile or Port of EntryKY

Country of DomicileUnited States of America

Licensed as business type:Health Maintenance Organization

Is HMO Federally Qualified? Yes [ X ] No [ ]

Incorporated/Organized08/23/1982Commenced Business09/23/1983

Statutory Home Office500 West Main StreetLouisville, KY, US 40202  
(Street and Number)(City or Town, State, Country and Zip Code)

Main Administrative Office500 West Main StreetLouisville, KY, US 40202502-580-1000  
(Street and Number)(City or Town, State, Country and Zip Code)(Area Code) (Telephone Number)

Mail AddressP.O. Box 740036Louisville, KY, US 40201-7436  
(Street and Number or P.O. Box)(City or Town, State, Country and Zip Code)

Primary Location of Books and Records500 West Main StreetLouisville, KY, US 40202502-580-1000  
(Street and Number)(City or Town, State, Country and Zip Code)(Area Code) (Telephone Number)

Internet Website Addresswww.humana.com

Statutory Statement ContactStephen Jackson502-580-2715  
(Name)(Area Code) (Telephone Number)

DOIINQUIRIES@humana.com502-580-2099  
(E-mail Address)(FAX Number)

OFFICERS

President & CEO	Bruce Dale Broussard	Chief Financial Officer	Brian Andrew Kane
Assistant Corporate Secretary	Joseph Matthew Ruschell #	SVP, Chief Actuary	Vanessa Marie Olson

OTHER

Alan James Bailey, VP & Treasurer	John Edward Barger III, SVP, Medicaid President	Andrew Joseph Besendorf III #, Appointed Actuary
Charles Wilbur Dow Jr., Regional President	Courtney Danielle Durall #, Sr Legal Professional & Asst Corp Sec	Douglas Allen Edwards, Vice President
Jeffrey Carl Fernandez, SVP, Medicare West and MarketPOINT	Christopher Howal Hunter, Segment President, Group Business	Mark Matthew Matzke, SVP, Employer Group and Specialty
Steven Edward McCulley, SVP, Medicare	Sean Joseph O'Reilly, SVP, Enterprise Compliance & CCO	Timothy Patrick O'Rourke, SVP, Medicare Divisional Leader
Bruno Roger Piquin, Regional President	William Mark Preston, VP, Investments	Richard Donald Remmers, SVP, Employer Group Sales
George Renaudin II, SVP, Medicare East & Provider	Donald Hank Robinson, SVP, Tax	Joseph Matthew Ruschell #, Asst Gen Counsel & Asst Corp Sec
Gilbert Alan Stewart, SVP, Medicare Divisional Leader	Daniel Andrew Tufto, SVP, Medicare Divisional Leader	Richard Andrew Vollmer Jr., SVP, Medicare Divisional Leader
Timothy Alan Wheatley, Segment President, Retail	Ralph Martin Wilson, Vice President	Cynthia Hillebrand Zipperle, SVP, Chief Accounting Officer & Controller

DIRECTORS OR TRUSTEES

Bruce Dale Broussard	Brian Andrew Kane	Timothy Alan Wheatley
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State ofKentuckySS:

County ofJefferson

The officers of this reporting entity being duly sworn, each depose and say that they are the described officers of said reporting entity, and that on the reporting period stated above, all of the herein described assets were the absolute property of the said reporting entity, free and clear from any liens or claims thereon, except as herein stated, and that this statement, together with related exhibits, schedules and explanations therein contained, annexed or referred to, is a full and true statement of all the assets and liabilities and of the condition and affairs of the said reporting entity as of the reporting period stated above, and of its income and deductions therefrom for the period ended, and have been completed in accordance with the NAIC Annual Statement Instructions and Accounting Practices and Procedures manual except to the extent that: (1) state law may differ; or, (2) that state rules or regulations require differences in reporting not related to accounting practices and procedures, according to the best of their information, knowledge and belief, respectively. Furthermore, the scope of this attestation by the described officers also includes the related corresponding electronic filing with the NAIC, when required, that is an exact copy (except for formatting differences due to electronic filing) of the enclosed statement. The electronic filing may be requested by various regulators in lieu of or in addition to the enclosed statement.

Bruce Dale Broussard President & CEO	Joseph Matthew Ruschell # Assistant Corporate Secretary	Alan James Bailey VP & Treasurer
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Subscribed and sworn to before me this9th day ofNovember, 2019

a. Is this an original filing? .....Yes [ X ] No [ ]

b. If no,  
1. State the amendment number.....  
2. Date filed .....  
3. Number of pages attached.....

Julia Wentworth  
Notary Public  
January 10, 2021

ASSETS

	Current Statement Date			4 December 31 Prior Year Net Admitted Assets
	1 Assets	2 Nonadmitted Assets	3 Net Admitted Assets (Cols. 1 - 2)	
1. Bonds .....	567,665,601	0	567,665,601	1,042,467,733
2. Stocks:				
2.1 Preferred stocks .....	0	0	0	0
2.2 Common stocks .....	0	0	0	16,619,557
3. Mortgage loans on real estate:				
3.1 First liens .....	27,600,000	0	27,600,000	27,600,000
3.2 Other than first liens.....	0	0	0	0
4. Real estate:				
4.1 Properties occupied by the company (less \$ .....0 encumbrances) .....	0	0	0	0
4.2 Properties held for the production of income (less \$ .....0 encumbrances) .....	0	0	0	0
4.3 Properties held for sale (less \$ .....0 encumbrances) .....	0	0	0	0
5. Cash (\$ .....28,185,259 ), cash equivalents (\$ .....66,197,578 ) and short-term investments (\$ .....0 ) .....	94,382,837	0	94,382,837	82,134,576
6. Contract loans (including \$ .....0 premium notes) .....	0	0	0	0
7. Derivatives .....	0	0	0	0
8. Other invested assets .....	0	0	0	0
9. Receivables for securities .....	0	0	0	325,000
10. Securities lending reinvested collateral assets .....	0	0	0	0
11. Aggregate write-ins for invested assets .....	0	0	0	0
12. Subtotals, cash and invested assets (Lines 1 to 11) .....	689,648,437	0	689,648,437	1,169,146,866
13. Title plants less \$ .....0 charged off (for Title insurers only) .....	0	0	0	0
14. Investment income due and accrued .....	3,185,001	0	3,185,001	7,779,240
15. Premiums and considerations:				
15.1 Uncollected premiums and agents' balances in the course of collection .....	23,806,195	926,231	22,879,964	37,724,139
15.2 Deferred premiums, agents' balances and installments booked but deferred and not yet due (including \$ .....0 earned but unbilled premiums) .....	0	0	0	0
15.3 Accrued retrospective premiums (\$ .....2,670,524 ) and contracts subject to redetermination (\$ .....48,840,860 ) .....	51,511,384	0	51,511,384	95,197,145
16. Reinsurance:				
16.1 Amounts recoverable from reinsurers .....	0	0	0	0
16.2 Funds held by or deposited with reinsured companies .....	0	0	0	0
16.3 Other amounts receivable under reinsurance contracts .....	0	0	0	10,312,962
17. Amounts receivable relating to uninsured plans .....	24,559,250	111,362	24,447,888	38,293,680
18.1 Current federal and foreign income tax recoverable and interest thereon .....	4,476,162	0	4,476,162	0
18.2 Net deferred tax asset .....	23,467,924	3,817,145	19,650,779	19,650,779
19. Guaranty funds receivable or on deposit .....	0	0	0	0
20. Electronic data processing equipment and software .....	0	0	0	0
21. Furniture and equipment, including health care delivery assets (\$ .....0 ) .....	1,379,639	1,379,639	0	0
22. Net adjustment in assets and liabilities due to foreign exchange rates .....	0	0	0	0
23. Receivables from parent, subsidiaries and affiliates .....	0	0	0	0
24. Health care (\$ .....12,952,127 ) and other amounts receivable .....	23,874,038	9,755,736	14,118,302	52,190,254
25. Aggregate write-ins for other than invested assets .....	4,111,090	4,089,773	21,317	401,567
26. Total assets excluding Separate Accounts, Segregated Accounts and Protected Cell Accounts (Lines 12 to 25) .....	850,019,120	20,079,886	829,939,235	1,430,696,632
27. From Separate Accounts, Segregated Accounts and Protected Cell Accounts .....	0	0	0	0
28. Total (Lines 26 and 27)	850,019,120	20,079,886	829,939,235	1,430,696,632
DETAILS OF WRITE-INS				
1101. ....				
1102. ....				
1103. ....				
1198. Summary of remaining write-ins for Line 11 from overflow page .....	0	0	0	0
1199. Totals (Lines 1101 through 1103 plus 1198)(Line 11 above)	0	0	0	0
2501. Deposits .....	2,566,114	2,566,114	0	0
2502. Prepaid Commissions .....	1,032,204	1,032,204	0	0
2503. Prepaid Expenses .....	491,455	491,455	0	0
2598. Summary of remaining write-ins for Line 25 from overflow page .....	21,317	0	21,317	401,567
2599. Totals (Lines 2501 through 2503 plus 2598)(Line 25 above)	4,111,090	4,089,773	21,317	401,567

LIABILITIES, CAPITAL AND SURPLUS

	Current Period			Prior Year
	1 Covered	2 Uncovered	3 Total	4 Total
1. Claims unpaid (less \$ .....67,462,397 reinsurance ceded) .....	140,479,576	3,101,149	143,580,725	361,688,482
2. Accrued medical incentive pool and bonus amounts .....	6,665,680	0	6,665,680	26,627,938
3. Unpaid claims adjustment expenses .....	774,193	0	774,193	2,411,212
4. Aggregate health policy reserves, including the liability of \$ .....1,706,671 for medical loss ratio rebate per the Public Health Service Act .....	54,485,745	0	54,485,745	70,869,097
5. Aggregate life policy reserves .....	0	0	0	0
6. Property/casualty unearned premium reserve .....	0	0	0	0
7. Aggregate health claim reserves .....	1,879,000	0	1,879,000	1,879,000
8. Premiums received in advance .....	21,624,275	0	21,624,275	15,515,582
9. General expenses due or accrued .....	14,716,256	0	14,716,256	16,864,036
10.1 Current federal and foreign income tax payable and interest thereon (including \$ .....0 on realized gains (losses)) .....	0	0	0	3,154,607
10.2 Net deferred tax liability .....	0	0	0	0
11. Ceded reinsurance premiums payable .....	0	0	0	0
12. Amounts withheld or retained for the account of others.....	0	0	0	0
13. Remittances and items not allocated .....	1,713,511	0	1,713,511	3,147,708
14. Borrowed money (including \$ .....0 current) and interest thereon \$ .....0 (including \$ .....0 current) .....	0	0	0	0
15. Amounts due to parent, subsidiaries and affiliates .....	17,418,815	0	17,418,815	6,593,427
16. Derivatives .....	0	0	0	0
17. Payable for securities .....	0	0	0	0
18. Payable for securities lending .....	0	0	0	0
19. Funds held under reinsurance treaties (with \$ .....0 authorized reinsurers, \$ .....113,965,043 unauthorized reinsurers and \$ .....0 certified reinsurers).....	113,965,043	0	113,965,043	76,957,263
20. Reinsurance in unauthorized and certified (\$ .....0 ) companies .....	0	0	0	6,407,487
21. Net adjustments in assets and liabilities due to foreign exchange rates .....	0	0	0	0
22. Liability for amounts held under uninsured plans .....	42,333,118	0	42,333,118	78,182,148
23. Aggregate write-ins for other liabilities (including \$ .....475,243 current) .....	2,672,312	0	2,672,312	2,476,226
24. Total liabilities (Lines 1 to 23) .....	418,727,524	3,101,149	421,828,673	672,774,213
25. Aggregate write-ins for special surplus funds .....	XXX	XXX	30,255,874	0
26. Common capital stock .....	XXX	XXX	2,248,000	2,248,000
27. Preferred capital stock .....	XXX	XXX	0	0
28. Gross paid in and contributed surplus .....	XXX	XXX	352,273,491	774,060,994
29. Surplus notes .....	XXX	XXX	0	0
30. Aggregate write-ins for other than special surplus funds .....	XXX	XXX	0	(6,407,487)
31. Unassigned funds (surplus) .....	XXX	XXX	23,333,197	(11,979,088)
32. Less treasury stock, at cost:				
32.1 .....0 shares common (value included in Line 26 \$ .....0 ) .....	XXX	XXX	0	0
32.2 .....0 shares preferred (value included in Line 27 \$ .....0 ) .....	XXX	XXX	0	0
33. Total capital and surplus (Lines 25 to 31 minus Line 32) .....	XXX	XXX	408,110,561	757,922,419
34. Total liabilities, capital and surplus (Lines 24 and 33)	XXX	XXX	829,939,235	1,430,696,632
DETAILS OF WRITE-INS				
2301. Unclaimed Property .....	1,355,101	0	1,355,101	1,350,254
2302. OPM Contract Reserves .....	1,214,826	0	1,214,826	1,023,587
2303. Reinsurance Payable .....	102,385	0	102,385	0
2398. Summary of remaining write-ins for Line 23 from overflow page .....	0	0	0	102,385
2399. Totals (Lines 2301 through 2303 plus 2398)(Line 23 above)	2,672,312	0	2,672,312	2,476,226
2501. Special Surplus – Projected HCRL Assessment for the Upcoming Year .....	XXX	XXX	30,255,874	0
2502. ....	XXX	XXX		
2503. ....	XXX	XXX		
2598. Summary of remaining write-ins for Line 25 from overflow page .....	XXX	XXX	0	0
2599. Totals (Lines 2501 through 2503 plus 2598)(Line 25 above)	XXX	XXX	30,255,874	0
3001. Unauthorized Reinsurance .....	XXX	XXX	0	(6,407,487)
3002. ....	XXX	XXX		
3003. ....	XXX	XXX		
3098. Summary of remaining write-ins for Line 30 from overflow page .....	XXX	XXX	0	0
3099. Totals (Lines 3001 through 3003 plus 3098)(Line 30 above)	XXX	XXX	0	(6,407,487)

STATEMENT OF REVENUE AND EXPENSES

	Current Year To Date		Prior Year To Date	Prior Year Ended December 31
	1 Uncovered	2 Total	3 Total	4 Total
1. Member Months .....	XXX	3,094,957	5,555,276	7,421,748
2. Net premium income ( including \$ .....0 non-health premium income).....	XXX	828,935,898	2,934,626,140	3,932,747,679
3. Change in unearned premium reserves and reserve for rate credits.....	XXX	5,569,566	1,672,280	(888,240)
4. Fee-for-service (net of \$ .....0 medical expenses).....	XXX	0	0	0
5. Risk revenue .....	XXX	0	0	0
6. Aggregate write-ins for other health care related revenues .....	XXX	0	0	0
7. Aggregate write-ins for other non-health revenues .....	XXX	0	0	0
8. Total revenues (Lines 2 to 7) .....	XXX	834,505,464	2,936,298,420	3,931,859,439
<b>Hospital and Medical:</b>				
9. Hospital/medical benefits .....	21,441,975	992,746,228	2,563,650,234	3,423,370,186
10. Other professional services .....	45,060	2,086,231	60,458,424	73,600,821
11. Outside referrals .....	0	0	0	0
12. Emergency room and out-of-area .....	1,257,285	58,211,280	139,025,391	181,213,124
13. Prescription drugs .....	5,775,022	267,378,901	372,513,216	498,761,599
14. Aggregate write-ins for other hospital and medical .....	0	0	0	0
15. Incentive pool, withhold adjustments and bonus amounts .....	0	621,112	14,618,247	18,906,922
16. Subtotal (Lines 9 to 15) .....	28,519,342	1,321,043,752	3,150,265,512	4,195,852,652
<b>Less:</b>				
17. Net reinsurance recoveries .....	0	652,097,649	721,247,380	941,282,912
18. Total hospital and medical (Lines 16 minus 17) .....	28,519,342	668,946,103	2,429,018,132	3,254,569,740
19. Non-health claims (net) .....	0	0	0	0
20. Claims adjustment expenses, including \$ .....49,277,878 cost containment expenses .....	0	59,746,522	115,088,110	155,274,477
21. General administrative expenses .....	0	52,360,665	313,828,489	392,529,209
22. Increase in reserves for life and accident and health contracts (including \$ .....0 increase in reserves for life only) .....	0	0	0	714,000
23. Total underwriting deductions (Lines 18 through 22).....	28,519,342	781,053,290	2,857,934,731	3,803,087,426
24. Net underwriting gain or (loss) (Lines 8 minus 23) .....	XXX	53,452,174	78,363,689	128,772,013
25. Net investment income earned .....	0	18,783,841	25,151,737	33,122,430
26. Net realized capital gains (losses) less capital gains tax of \$ .....(3,246,005) .....	0	(12,211,161)	(426,957)	(514,843)
27. Net investment gains (losses) (Lines 25 plus 26) .....	0	6,572,681	24,724,780	32,607,587
28. Net gain or (loss) from agents' or premium balances charged off [(amount recovered \$ .....0 ) (amount charged off \$ .....0 )].....	0	0	0	0
29. Aggregate write-ins for other income or expenses .....	0	(12,545)	3,647	(15,674)
30. Net income or (loss) after capital gains tax and before all other federal income taxes (Lines 24 plus 27 plus 28 plus 29) .....	XXX	60,012,309	103,092,116	161,363,926
31. Federal and foreign income taxes incurred .....	XXX	14,680,684	32,487,977	35,665,946
32. Net income (loss) (Lines 30 minus 31) .....	XXX	45,331,626	70,604,139	125,697,980
<b>DETAILS OF WRITE-INS</b>				
0601. ....	XXX			
0602. ....	XXX			
0603. ....	XXX			
0698. Summary of remaining write-ins for Line 6 from overflow page .....	XXX	0	0	0
0699. Totals (Lines 0601 through 0603 plus 0698)(Line 6 above) .....	XXX	0	0	0
0701. ....	XXX			
0702. ....	XXX			
0703. ....	XXX			
0798. Summary of remaining write-ins for Line 7 from overflow page .....	XXX	0	0	0
0799. Totals (Lines 0701 through 0703 plus 0798)(Line 7 above) .....	XXX	0	0	0
1401. ....				
1402. ....				
1403. ....				
1498. Summary of remaining write-ins for Line 14 from overflow page .....	0	0	0	0
1499. Totals (Lines 1401 through 1403 plus 1498)(Line 14 above) .....	0	0	0	0
2901. Miscellaneous Income .....	0	2,185	3,647	3,192
2902. Gain/(Loss) on Disposal .....	0	(14,730)	0	0
2903. Loss on Disposal .....	0	0	0	(18,866)
2998. Summary of remaining write-ins for Line 29 from overflow page .....	0	0	0	0
2999. Totals (Lines 2901 through 2903 plus 2998)(Line 29 above) .....	0	(12,545)	3,647	(15,674)

STATEMENT OF REVENUE AND EXPENSES (Continued)

	1 Current Year to Date	2 Prior Year to Date	3 Prior Year Ended December 31
CAPITAL AND SURPLUS ACCOUNT			
33. Capital and surplus prior reporting year.....	757,922,419	998,885,395	998,885,395
34. Net income or (loss) from Line 32 .....	45,331,626	70,604,139	125,697,980
35. Change in valuation basis of aggregate policy and claim reserves .....	0	0	0
36. Change in net unrealized capital gains (losses) less capital gains tax of \$ .....0	39,546,045	(1,147,372)	(3,973,982)
37. Change in net unrealized foreign exchange capital gain or (loss) .....	0	0	0
38. Change in net deferred income tax .....	0	0	(13,004,179)
39. Change in nonadmitted assets .....	27,499,591	3,375,516	6,925,553
40. Change in unauthorized and certified reinsurance .....	6,407,487	0	(6,407,487)
41. Change in treasury stock .....	0	0	0
42. Change in surplus notes .....	0	0	0
43. Cumulative effect of changes in accounting principles.....	0	0	0
44. Capital Changes:			
44.1 Paid in .....	0	0	0
44.2 Transferred from surplus (Stock Dividend).....	0	0	0
44.3 Transferred to surplus.....	0	0	0
45. Surplus adjustments:			
45.1 Paid in .....	(421,787,503)	(350,000,000)	(350,200,860)
45.2 Transferred to capital (Stock Dividend) .....	0	0	0
45.3 Transferred from capital .....	0	0	0
46. Dividends to stockholders .....	(46,809,104)	0	0
47. Aggregate write-ins for gains or (losses) in surplus .....	0	0	0
48. Net change in capital & surplus (Lines 34 to 47) .....	(349,811,858)	(277,167,717)	(240,962,975)
49. Capital and surplus end of reporting period (Line 33 plus 48)	408,110,561	721,717,678	757,922,419
DETAILS OF WRITE-INS			
4701. ....			
4702. ....			
4703. ....			
4798. Summary of remaining write-ins for Line 47 from overflow page .....	0	0	0
4799. Totals (Lines 4701 through 4703 plus 4798)(Line 47 above)	0	0	0

STATEMENT AS OF SEPTEMBER 30, 2019 OF THE Humana Health Plan Inc.

CASH FLOW

	1 Current Year To Date	2 Prior Year To Date	3 Prior Year Ended December 31
<b>Cash from Operations</b>			
1. Premiums collected net of reinsurance .....	893,996,588	2,974,459,337	3,926,259,130
2. Net investment income .....	27,730,257	35,309,982	46,058,827
3. Miscellaneous income .....	0	0	0
4. Total (Lines 1 to 3) .....	921,726,845	3,009,769,319	3,972,317,957
5. Benefit and loss related payments .....	855,353,321	2,683,052,963	3,538,716,488
6. Net transfers to Separate Accounts, Segregated Accounts and Protected Cell Accounts .....	0	0	0
7. Commissions, expenses paid and aggregate write-ins for deductions .....	137,304,053	341,871,993	574,787,371
8. Dividends paid to policyholders .....	0	0	0
9. Federal and foreign income taxes paid (recovered) net of \$ ..... (192,654) tax on capital gains (losses) .....	19,065,448	4,146,124	19,468,084
10. Total (Lines 5 through 9) .....	1,011,722,822	3,029,071,081	4,132,971,943
11. Net cash from operations (Line 4 minus Line 10) .....	(89,995,977)	(19,301,762)	(160,653,986)
<b>Cash from Investments</b>			
12. Proceeds from investments sold, matured or repaid:			
12.1 Bonds .....	485,111,766	386,924,917	449,504,278
12.2 Stocks .....	0	0	0
12.3 Mortgage loans .....	0	0	0
12.4 Real estate .....	0	0	0
12.5 Other invested assets .....	0	0	0
12.6 Net gains or (losses) on cash, cash equivalents and short-term investments .....	0	0	0
12.7 Miscellaneous proceeds .....	325,000	124,946,171	2,477
12.8 Total investment proceeds (Lines 12.1 to 12.7) .....	485,436,766	511,871,088	449,506,755
13. Cost of investments acquired (long-term only):			
13.1 Bonds .....	12,549,980	196,626,590	206,514,713
13.2 Stocks .....	150,000,000	0	0
13.3 Mortgage loans .....	0	0	0
13.4 Real estate .....	0	0	0
13.5 Other invested assets .....	0	0	0
13.6 Miscellaneous applications .....	0	3,675,000	75,000
13.7 Total investments acquired (Lines 13.1 to 13.6) .....	162,549,980	200,301,590	206,589,713
14. Net increase (or decrease) in contract loans and premium notes .....	0	0	0
15. Net cash from investments (Line 12.8 minus Line 13.7 and Line 14) .....	322,886,786	311,569,498	242,917,042
<b>Cash from Financing and Miscellaneous Sources</b>			
16. Cash provided (applied):			
16.1 Surplus notes, capital notes .....	0	0	0
16.2 Capital and paid in surplus, less treasury stock .....	(233,190,896)	(350,000,000)	(350,000,000)
16.3 Borrowed funds .....	0	0	0
16.4 Net deposits on deposit-type contracts and other insurance liabilities .....	0	0	0
16.5 Dividends to stockholders .....	46,809,104	0	0
16.6 Other cash provided (applied) .....	59,357,453	37,585,752	54,194,862
17. Net cash from financing and miscellaneous sources (Line 16.1 through Line 16.4 minus Line 16.5 plus Line 16.6) .....	(220,642,548)	(312,414,248)	(295,805,138)
<b>RECONCILIATION OF CASH, CASH EQUIVALENTS AND SHORT-TERM INVESTMENTS</b>			
18. Net change in cash, cash equivalents and short-term investments (Line 11, plus Lines 15 and 17) ..	12,248,261	(20,146,512)	(213,542,082)
19. Cash, cash equivalents and short-term investments:			
19.1 Beginning of year .....	82,134,576	295,676,658	295,676,658
19.2 End of period (Line 18 plus Line 19.1) .....	94,382,837	275,530,146	82,134,576

Note: Supplemental disclosures of cash flow information for non-cash transactions:

20.0001. Non-Cash Dividend of Investment in Subsidiary – Proceeds for Stocks .....	(188,596,607)	0	0
20.0002. Non-Cash Dividend of Investment in Subsidiary – Capital and Paid in surplus .....	188,596,607	0	0

EXHIBIT OF PREMIUMS, ENROLLMENT AND UTILIZATION

	1  Total	Comprehensive (Hospital & Medical)		4  Medicare Supplement	5  Vision Only	6  Dental Only	7  Federal Employees Health Benefit Plan	8  Title XVIII Medicare	9  Title XIX Medicaid	10  Other
		2  Individual	3  Group							
Total Members at end of:										
1. Prior Year .....	621,971	2	171,483	677	0	0	11,980	280,403	157,426	0
2. First Quarter .....	340,170	2	163,649	1,019	0	0	11,161	7,592	156,747	0
3. Second Quarter .....	344,538	2	167,082	1,194	0	0	11,112	7,846	157,302	0
4. Third Quarter .....	342,394	2	164,147	1,400	0	0	10,965	8,178	157,702	0
5. Current Year	0	0	0	0	0	0	0	0	0	0
6. Current Year Member Months	3,094,957	40	1,484,035	10,193	0	9	98,897	70,141	1,431,642	0
Total Member Ambulatory Encounters for Period:										
7. Physician .....	3,008,589	460	934,421	13,982	0	0	99,208	575,689	1,384,829	0
8. Non-Physician .....	1,395,499	324	341,246	5,785	0	0	39,830	360,520	647,794	0
9. Total	4,404,088	784	1,275,667	19,767	0	0	139,038	936,209	2,032,623	0
10. Hospital Patient Days Incurred	386,048	101	31,480	608	0	0	4,998	161,239	187,622	0
11. Number of Inpatient Admissions	27,942	3	5,483	131	0	0	547	8,169	13,609	0
12. Health Premiums Written (a) .....	1,548,604,093	38,662	605,720,118	1,434,945	0	0	64,388,662	114,622,420	762,399,285	0
13. Life Premiums Direct .....	0	0	0	0	0	0	0	0	0	0
14. Property/Casualty Premiums Written .....	0	0	0	0	0	0	0	0	0	0
15. Health Premiums Earned .....	1,554,173,659	38,662	605,248,289	1,434,945	0	0	64,388,662	114,622,420	768,440,681	0
16. Property/Casualty Premiums Earned .....	0	0	0	0	0	0	0	0	0	0
17. Amount Paid for Provision of Health Care Services.....	1,530,467,582	52,396	482,870,144	1,229,604	0	0	57,928,033	266,018,472	722,368,933	0
18. Amount Incurred for Provision of Health Care Services	1,321,043,752	(29,628)	491,940,842	1,495,364	0	0	58,461,859	68,054,907	701,120,408	0

(a) For health premiums written: amount of Medicare Title XVIII exempt from state taxes or fees \$ .....114,622,420

## CLAIMS UNPAID AND INCENTIVE POOL, WITHHOLD AND BONUS (Reported and Unreported)

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UNDERWRITING AND INVESTMENT EXHIBIT

ANALYSIS OF CLAIMS UNPAID - PRIOR YEAR - NET OF REINSURANCE

Line of Business	Claims Paid Year to Date		Liability End of Current Quarter		5  Claims Incurred in Prior Years (Columns 1 + 3)	6  Estimated Claim Reserve and Claim Liability December 31 of Prior Year
	1  On Claims Incurred Prior to January 1 of Current Year	2  On Claims Incurred During the Year	3  On Claims Unpaid Dec. 31 of Prior Year	4  On Claims Incurred During the Year		
1. Comprehensive (hospital and medical) .....	51,736,612	431,088,651	2,814,640	72,868,346	54,551,252	67,705,561
2. Medicare Supplement .....	78,452	1,151,152	707	295,011	79,159	41,543
3. Dental Only .....	0	0	0	0	0	0
4. Vision Only .....	0	0	0	0	0	0
5. Federal Employees Health Benefits Plan .....	7,875,410	50,052,623	177,741	7,867,195	8,053,152	7,129,620
6. Title XVIII - Medicare .....	198,179,068	47,256,035	6,022,766	46,815,031	204,201,834	281,936,655
7. Title XIX - Medicaid .....	8,480,129	38,779,025	1,494,659	7,103,629	9,974,788	6,754,103
8. Other health .....	0	0	0	0	0	0
9. Health subtotal (Lines 1 to 8) .....	266,349,671	568,327,486	10,510,513	134,949,212	276,860,185	363,567,482
10. Healthcare receivables (a) .....	0	22,707,863	0	0	0	74,463,455
11. Other non-health .....	0	0	0	0	0	0
12. Medical incentive pools and bonus amounts .....	20,583,369	0	6,665,680	0	27,249,049	26,627,938
13. Totals (Lines 9-10+11+12)	286,933,041	545,619,623	17,176,194	134,949,212	304,109,234	315,731,965

(a) Excludes \$ 0 loans or advances to providers not yet expensed.

STATEMENT AS OF September 30, 2019 OF Humana Health Plan, Inc.

NOTES TO THE FINANCIAL STATEMENTS

1. Summary of Significant Accounting Policies and Going Concern

A. Accounting Practices

The financial statements of the Company are presented on the basis of accounting practices prescribed or permitted by the Commonwealth of Kentucky Department of Insurance.

The Commonwealth of Kentucky Department of Insurance (the Department) recognizes only statutory accounting practices prescribed or permitted by the State of Kentucky for determining and reporting the financial condition and results of operations of an insurance company, for determining its solvency under the Kentucky Insurance Law. The National Association of Insurance Commissioners’ (NAIC) Accounting Practices and Procedures manual (NAIC SAP) has been adopted as a component of prescribed or permitted practices by the State of Kentucky. The Commissioner of Insurance has the right to permit other specific practices that deviate from prescribed practices. Effective June 30, 2019, the Department approved the merger of CHA Service Company into CHA HMO Inc., its direct subsidiary and a non-cash return of capital of CHA HMO Inc. from the Company to Humana Inc. Under SSAP No. 25, *Accounting for and Disclosures about Transactions with Affiliates and Other Related Parties*, this transaction would be recorded at fair value since it would be deemed “economic” in nature. The Department approved a permitted practice to allow the Company to report this transaction at book value. The Company’s risk-based capital would not have triggered a regulatory event had it not used a prescribed or permitted practice.

A reconciliation of the Company’s net income and capital and surplus between NAIC SAP and practices prescribed and permitted by the State of Kentucky is shown below:

	SSAP #	F/S Page	F/S Line #	2019	2018
Net Income					
1. Humana Health Plan, Inc. Kentucky basis	xxx	xxx	xxx	\$ 45,331,626	\$ 125,697,980
2. State Prescribed Practices that is an increase/(decrease) NAIC SAP				-	-
3. State Permitted Practices that is an increase/(decrease) NAIC SAP					-
a. Unrecorded realized gains impact due to valuation difference	24	4	26	995,308,000	
4. NAIC SAP	xxx	xxx	xxx	\$ 1,040,639,626	\$ 125,697,980
Surplus					
5. Humana Health Plan, Inc. Kentucky basis	xxx	xxx	xxx	\$ 408,110,561	\$ 757,922,419
6. State Prescribed Practices that is an increase/(decrease) NAIC SAP				-	
7. State Permitted Practices that is an increase/(decrease) NAIC SAP					
a. Unrecorded realized gains impact due to valuation difference	24	5	34	995,308,000	-
b. Return of Capital impact due to valuation difference	24	5	45.1	(995,308,000)	-
8. NAIC SAP	xxx	xxx	xxx	\$ 408,110,561	\$ 757,922,419

B. Use of Estimates in the Preparation of the Financial Statements

The preparation of financial statements in conformity with Statutory Accounting Principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities. It also requires disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenue and expenses during the period. These estimates are based on knowledge of current events and anticipated future events, and accordingly, actual results could differ from those estimates.

C. Accounting Policy

Premiums are reported as earned in the period in which members are entitled to receive services, and are net of retroactive membership adjustments. Retroactive membership adjustments result from enrollment changes not yet processed, or not yet reported by an employer group or the government. Premiums received prior to such period are recorded as advance premiums.

Benefits incurred and loss adjustment expenses include claim payments, capitation payments, pharmacy costs net of rebates, allocations of certain centralized expenses, legal and administrative costs to settle claims, and various other costs incurred to provide health insurance coverage to members, as well as estimates of future payments to hospitals and others for medical care provided prior to the date of the statements of admitted assets, liabilities and surplus. Capitation payments represent monthly contractual fees disbursed to participating primary care physicians, and other providers who are responsible for providing medical care to members. Pharmacy costs represent payments for members’ prescription drug benefits, net of rebates from drug manufacturers.

In addition, the Company uses the following accounting policies:

- (1) Short-term investments include investments mainly in U.S. Government obligations with a maturity of twelve months or less from the date of purchase. Short-term investments are recorded at amortized cost. The carrying value of short-term investments approximates fair value due to the short-term maturities of the investments.
- (2-4) Investments are valued and classified in accordance with methods prescribed by the NAIC. Bonds with an NAIC rating of 1 or 2 are carried at amortized cost, with all other bonds being recorded at the lower of amortized cost or fair value; redeemable preferred stocks are carried at amortized cost; and non-redeemable preferred stocks are carried at fair value. Common stocks are carried at fair value.

## NOTES TO THE FINANCIAL STATEMENTS

The Company regularly evaluates investment securities for impairment. For all securities other than loan-backed and structured securities, the Company considers factors affecting the investee, factors affecting the industry the investee operates within, and general debt and equity market trends. The Company also considers the length of time an investment's fair value has been below carrying value, the near term prospects for recovery to carrying value, and the Company's intent and ability to hold the investment until maturity or market recovery is realized. If and when a determination is made that a decline in fair value below the cost basis is other-than-temporary, the related investment is written down to its estimated fair value through earnings.

Amortization of bond premium or discount is computed using the scientific interest method.

Income from investments is recorded on an accrual basis. For the purpose of determining realized gains and losses, the cost of securities sold is based upon specific identification. Investment income due and accrued over 90 days past due is nonadmitted.

- (5) The Company estimates the fair value of its investments in mortgage loans on real estate using a discounted cash flow method based on rating, maturity and future income when compared to the expected yield for mortgages having similar characteristics. The rating for mortgages in good standing is based on property type, location, market conditions, occupancy, debt service coverage, loan to value, caliber of tenancy, borrower and payment record. Problem mortgages are priced to reflect their monetary value to the Company, considering such things as the degree of default, whether or not the payments are still being made, interest rate, maturity and operating performance of the underlying collateral.
- (6) For loan backed and structured securities where the securities fair value is less than the amortized cost, the Company considers several factors to determine if the security's impairment is other-than-temporary. If the Company has the intent to sell the security or if the Company does not have the intent and ability to retain the security until recovery of its fair value, the related investment is written down to its estimated fair value through earnings. If, however, the Company has the intent and ability to retain the security until recovery of its fair value, the Company considers factors affecting the investee, factors affecting the industry the investee operates within, and general debt and equity market trends. The Company also considers the length of time an investment's fair value has been below carrying value and the near term prospects for recovery to carrying value. If the determination is made, based on these factors, that the Company does expect to recover the entire amortized cost of the security, then an other-than-temporary impairment has not occurred. If, however, the determination is made that the Company does not expect to recover the entire amortized cost of the security based on the factors noted above, the Company recognizes a realized loss in earnings for the non-interest related decline. No loss is recognized for the interest impairment.
- (7) Not Applicable.
- (8) Not Applicable.
- (9) Not Applicable.
- (10-11) The estimates of future medical benefit payments are developed using actuarial methods and assumptions based upon claim payment patterns, medical cost inflation, historical development such as claim inventory levels and claim receipt patterns, and other relevant factors. Corresponding administrative costs to process outstanding claims are estimated and accrued. Estimates of future payments relating to services incurred in the current and prior periods are continually reviewed by management and adjusted as necessary.

The Company assesses the profitability of its contracts for providing health insurance coverage to its members when current operating results or forecasts indicate probable future losses. The Company records a premium deficiency liability in current operations to the extent that the sum of expected future medical costs, claim adjustment expenses and maintenance costs exceed related future premiums. Investment income is not contemplated in the calculation of the premium deficiency liability.

Management believes the Company's benefits payable and loss adjustment expense are adequate to cover future claims and loss adjustment expense payments required, however, such estimates are based on knowledge of current events and anticipated future events and, therefore, the actual liability could differ from the amounts provided.

- (12) The Company has not modified its capitalization policy from the prior period.

Equipment is stated at cost less accumulated depreciation. Depreciation expense is computed using the straight-line method over estimated useful lives generally ranging from three to five years. Improvements to leased facilities are depreciated over the shorter of the remaining lease term or the anticipated life of the improvement.

The Company recognizes an asset or liability for the deferred tax consequences of temporary differences between the tax basis of assets or liabilities and their reported amounts in the financial statements. The temporary differences will result in taxable or deductible amounts in future years when the reported amounts of the assets or liabilities are recovered or settled.

- (13) The Company estimates anticipated Pharmacy Rebate Receivables using the analysis of historical recovery patterns.
- (14) Not Applicable.
- (15) Not Applicable.

NOTES TO THE FINANCIAL STATEMENTS

D. Going Concern

Management of the Company has evaluated the Company’s ability to continue as a going concern under SSAP No. 1, *Accounting Policies, Risks & Uncertainties, and Other Disclosures* (SSAP No. 1). Based on this evaluation, Management has determined that there is no substantial doubt about the Company’s ability to continue as a going concern.

2. Accounting Changes and Corrections of Errors

Not Applicable.

3. Business Combinations and Goodwill

A. Statutory Purchase Method

On April 30, 2008, the Company acquired UnitedHealth Group’s Las Vegas, Nevada individual SecureHorizons Medicare Advantage HMO customer and provider contracts, or SecureHorizons, for cash consideration of approximately \$185,300,000. In accordance with SSAP No. 20, *Nonadmitted Assets*, the \$185,300,000 of intangible assets were recorded as nonadmitted assets. Goodwill relating to the purchase of SecureHorizons was fully amortized during 2018.

Purchased Entity	Acquisition Date	Cost of Acquired Entity	Original Amount of Admitted Goodwill	Admitted Goodwill as of the Reporting Date	Amount of Goodwill Amortized During the Reporting Period	Admitted Goodwill as a % of SCA BACV, Gross of Admitted Goodwill
SecureHorizons	April 30, 2008	\$185,300,000	\$0	\$0	\$0	0%

B. Statutory Merger

Not Applicable.

C. Assumption Reinsurance

Not Applicable.

D. Impairment Loss

Not Applicable.

4. Discontinued Operations

Not Applicable.

5. Investments

A. Mortgage Loans, Including Mezzanine Real Estate Loans

No material change since year-end December 31, 2018.

B. Debt Restructuring

Not Applicable.

C. Reverse Mortgages

Not Applicable.

D. Loan-Backed Securities

- (1) Prepayment assumptions for mortgage-backed/loan-backed and structured securities were obtained from industry market sources.
- (2) Not Applicable.
- (3) Not Applicable.

STATEMENT AS OF September 30, 2019 OF Humana Health Plan, Inc.

NOTES TO THE FINANCIAL STATEMENTS

- (4) The Company does not have any investments in an other-than-temporary impairment position at September 30, 2019.

Gross unrealized losses and related fair value of temporarily impaired securities that have been in a continuous unrealized loss position were as follows at September 30, 2019:

- (a) The aggregate amount of unrealized losses:

1. Less than Twelve Months	\$	-
2. Twelve Months or Longer	\$	(44,421)

- (b) The aggregate related fair value of securities with unrealized losses:

1. Less than Twelve Months	\$	-
2. Twelve Months or Longer	\$	6,115,579

- (5) Unrealized losses are primarily due to increases in market interest rates and tighter liquidity conditions in the current markets than when the securities were purchased. All issuers of securities trading at an unrealized loss remain current on all contractual payments and the Company believes it is probable that all amounts due according to the contractual terms of the debt securities are collectible. After taking into account these and other factors, including the severity of the decline and the Company’s ability and intent to hold these securities until recovery or maturity, the Company determined the unrealized losses on these investment securities were temporary and, as such, no impairment was required.

E. Dollar Repurchase Agreements and/or Securities Lending Transactions

- (1) The Company has no repurchase agreements or securities lending transactions.
- (2) The Company has not pledged any of its assets as collateral.
- (3-7) Not Applicable.

F. Repurchase Agreements Transactions Accounted for as Secured Borrowing

Not Applicable.

G. Reverse Repurchase Agreements Transactions Accounted for as Secured Borrowing

Not Applicable.

H. Repurchase Agreements Transactions Accounted for as a Sale

Not Applicable.

I. Reverse Repurchase Agreements Transactions Accounted for as a Sale

Not Applicable.

J. Real Estate

Not Applicable.

K. Low-Income Housing Tax Credits (LIHTC)

Not Applicable.

STATEMENT AS OF September 30, 2019 OF Humana Health Plan, Inc.

NOTES TO THE FINANCIAL STATEMENTS

L. Restricted Assets

(1) Restricted Assets (Including Pledged)

Restricted Asset Category	1	2	3	4	5	6	7
	Total Gross (Admitted & Nonadmitted) Restricted from Current Year	Total Gross (Admitted & Nonadmitted) Restricted from Prior Year	Increase/ (Decrease) (1 minus 2)	Total Current Year Nonadmitted Restricted	Total Current Year Admitted Restricted (1 minus 4)	Percentage Gross (Admitted & Nonadmitted) Restricted to Total Assets (a)	Percentage Admitted Restricted to Total Admitted Assets (b)
a. Subject to contractual obligation for which liability is not shown	\$ -	\$ -	\$ -	\$ -	\$ -	-%	-%
b. Collateral held under security lending agreements	-	-	-	-	-	-	-
c. Subject to repurchase agreements	-	-	-	-	-	-	-
d. Subject to reverse repurchase agreements	-	-	-	-	-	-	-
e. Subject to dollar repurchase agreements	-	-	-	-	-	-	-
f. Subject to dollar reverse repurchase agreements	-	-	-	-	-	-	-
g. Placed under option contracts	-	-	-	-	-	-	-
h. Letter stock or securities restricted to sale – excluding FHLB capital stock	-	-	-	-	-	-	-
i. FHLB capital stock	-	-	-	-	24,744,440	-	-
j. On deposit with states	24,744,440	24,621,687	122,753	-	0	2.93%	3.00%
k. On deposit with other regulatory bodies	-	-	-	-	-	-	-
l. Pledged collateral to FHLB (including assets backing funding agreements)	-	-	-	-	-	-	-
m. Pledged as collateral not captured in other categories	-	-	-	-	-	-	-
n. Other restricted assets	-	-	-	-	-	-	-
o. Total Restricted Assets	\$ 24,744,440	\$ 24,621,687	\$ 122,753	-	\$ 24,744,440	2.93%	3.00%

(2) Detail of Assets Pledged as Collateral Not Captured in Other Categories (Contracts that Share Similar Characteristics, Such as Reinsurance and Derivatives, Are Reported in the Aggregate)

Not Applicable.

(3) Detail of Other Restricted Assets Categories (Contracts that Share Similar Characteristics, Such as Reinsurance and Derivatives, Are Reported in the Aggregate)

Not Applicable.

(4) Collateral Received and Reflected as Assets Within the Reporting Entity’s Financial Statements

Not Applicable.

M. Working Capital Finance Investments

Not Applicable.

N. Offsetting and Netting of Assets and Liabilities

Not Applicable.

O. Structured Notes

Not Applicable.

P. 5GI\* Securities

Not Applicable.

Q. Short Sales

Not Applicable.

STATEMENT AS OF September 30, 2019 OF Humana Health Plan, Inc.

NOTES TO THE FINANCIAL STATEMENTS

R. Prepayment Penalty and Acceleration Fees

No material change since year-end December 31, 2018.

6. Joint Ventures, Partnerships and Limited Liability Companies

- A. The Company has no investments in Joint Ventures, Partnerships or Limited Liability Companies that exceed 10.0 percent of its admitted assets.
- B. The Company did not recognize any impairment write down for its investments in Joint Ventures, Partnerships and Limited Liability Companies during the statement periods.

7. Investment Income

- A. Due and accrued income was excluded from surplus on the following basis:

All investment income due and accrued with amounts that are over 90 days past due with the exception of mortgage loans in default.

- B. The total amount excluded was \$0.

8. Derivative Instruments

Not Applicable.

9. Income Taxes

No material change since year-end December 31, 2018.

10. Information Concerning Parent, Subsidiaries and Affiliates

A.-F. The Company has several management contracts with Humana Inc. and other related parties whereby the Company is provided with medical and executive management, information systems, claims processing, billing and enrollment, and telemarketing and other services as required by the Company. Management fees charged to operations for the years ended December 31, 2018 and 2017 were \$464,966,349 and \$772,761,203, respectively. As a part of this agreement, Humana Inc. makes cash disbursements on behalf of the Company which includes, but is not limited to, medical related items, general and administrative expenses, commissions and payroll. The Company continues to be primarily liable for any outstanding payments made on behalf of the Company, should Humana Inc. not be able to fulfill its obligations.

A non-cash dividend of \$188,596,607 was recorded at book value by the Company at June 30, 2019, as permitted by the Department. The Company reversed the prior year accumulated unrealized gain in the statements of changes in surplus of \$37,832,172 related to its investment in CHA Service Company and recorded a net realized loss on the transaction to Humana Inc. in the amount of \$15,855,114 in the accompanying statements of revenue and expenses.

Total dividends of \$46,809,104, were paid to Humana, Inc. on September 30, 2019 and total returns of capital of \$233,190,896, were paid to Humana, Inc. on September 30, 2019. The Commonwealth of Kentucky Department of Insurance was notified prior to the payment of these dividends and returns of capital.

At September 30, 2019, the Company reported \$17,418,815 due to Humana Inc. Amounts due to or from parent are generally settled within 90 days.

The Company has a parental guarantee with Humana Inc. in accordance with certain regulatory requirements.

- G. All outstanding shares of the Company are owned by the Parent Company.

- H. Not Applicable.

- I. Not Applicable.

- J. Not Applicable.

- K. Not Applicable.

- L. Not Applicable.

- M. All SCA Investments

Not Applicable.

- N. Investment in Insurance SCA

Not Applicable.

- O. SCA Loss Tracking

Not Applicable.

NOTES TO THE FINANCIAL STATEMENTS

11. Debt

A. Debt Including Capital Notes

The Company has no debentures outstanding.

The Company has no capital notes outstanding.

The Company does not have any reverse repurchase agreements.

B. Federal Home Loan Bank (FHLB) Agreements

The Company does not have any FHLB agreements.

12. Retirement Plans, Deferred Compensation, Postemployment Benefits and Compensated Absences and Other Postretirement Benefit Plans

A.-D. Defined Benefit Plans

Not Applicable.

E. Defined Contribution Plans

Not Applicable.

F. Multiemployer Plans

Not Applicable.

G. Consolidated/Holding Company Plans

No material change since year-end December 31, 2018.

H. Postemployment Benefits and Compensated Absences

Not Applicable.

I. Impact of Medicare Modernization Act on Postretirement Benefits (INT 04-17)

Not Applicable.

13. Capital and Surplus, Shareholders' Dividend Restrictions and Quasi-Reorganizations

(1) The Company has \$1 par value common stock with 5,000,000 shares authorized and 2,248,000 shares issued and 2,248,000 outstanding. All shares are common stock shares.

(2) The Company has no preferred stock outstanding.

(3-5) Dividends and returns of capital to shareholders are noncumulative and are paid as determined by the Board of Directors. In accordance with the Department statutes, the maximum amount which can be paid by the Company to shareholders without prior approval by the Department is the lesser of 10% of total surplus or net income from the prior year. All ordinary dividends are limited to available and accumulated surplus funds. Based on these restrictions, the Company can pay a maximum dividend or return of capital to shareholders of approximately \$46,800,000 in 2019 without prior regulatory approval.

Within the limitations above, there are no restrictions placed on the portion of Company profits that may be paid as ordinary dividends to stockholders.

A non-cash dividend of \$188,596,607 was completed with Humana Inc. on June 30, 2019. The Department approved the transaction prior to the completion of these returns of capital.

Dividends or returns of capital to shareholders paid by the Company are listed below. Extraordinary amounts have been approved by the Department.

		<u>Dividend or Return of Capital Amount</u>		<u>Date Paid</u>
		<u>Ordinary</u>	<u>Extraordinary</u>	
Dividend	\$	-	\$ 46,809,104	September 30, 2019
Return of Capital		-	233,190,896	September 30, 2019
Total paid in 2019	\$	-	\$ 280,000,000	

(6) There were no restrictions placed on the Company's surplus, including for whom the surplus is being held.

(7) Not Applicable.

(8) Not Applicable.

(9) Changes in balances of special surplus funds from the prior year is due to the estimated health insurance industry fee that will be payable on September 30, 2020.



STATEMENT AS OF September 30, 2019 OF Humana Health Plan, Inc.

NOTES TO THE FINANCIAL STATEMENTS

(10) The portion of unassigned funds (surplus) represented or reduced by cumulative unrealized gains and losses is \$39,546,045.

(11) Not Applicable.

(12) Not Applicable.

(13) Not Applicable.

14. Liabilities, Contingencies and Assessments

A. Contingent Commitments

Not Applicable.

B. Assessments

Not Applicable.

C. Gain Contingencies

Not Applicable.

D. Claims related extra contractual obligation and bad faith losses stemming from lawsuits

Not Applicable.

E. Joint and Several Liabilities

Not Applicable.

F. All Other Contingencies

During the ordinary course of business, the Company is subject to pending and threatened legal actions. Management of the Company does not believe that any of these actions will have a material adverse effect on the Company's surplus, results of operations or cash flows. However, the likelihood or outcome of current or future legal proceedings cannot be accurately predicted, and they could adversely affect the Company's surplus, results of operations and cash flows.

The Company is not aware of any other material contingent liabilities as of September 30, 2019.

15. Leases

No material change since year-end December 31, 2018.

16. Information about Financial Instruments With Off-Balance Sheet Risk and Financial Instruments With Concentrations of Credit Risk

The Company has no investment in Financial Instruments with Off-Balance Sheet Risk or Concentrations of Credit Risk.

17. Sale, Transfer and Servicing of Financial Assets and Extinguishments of Liabilities

A. Transfers of Receivables Reported as Sales

Not Applicable.

B. Transfer and Servicing of Financial Assets

Not Applicable.

C. Wash Sales

Not Applicable.

STATEMENT AS OF September 30, 2019 OF Humana Health Plan, Inc.

NOTES TO THE FINANCIAL STATEMENTS

18. Gain or Loss to the Reporting Entity from Uninsured Plans and the Uninsured Portion of Partially Insured Plans

A. ASO Plans

The gain from operations from Administrative Services Only (ASO) uninsured plans and the uninsured portion of partially insured plans were as follows for the quarter ended September 30, 2019:

	ASO Uninsured Plans	Uninsured Portion of Partially Insured Plans	Total ASO
a. Net reimbursement for administrative expenses (including administrative fees) in excess of actual expenses	\$ 18,716,334	\$ -	\$ 18,716,334
b. Total net other income or expenses (including interest paid to or received from plans)	\$ (13,473)	\$ -	\$ (13,473)
c. Net gain or (loss) from operations	\$ 18,702,861	\$ -	\$ 18,702,861
d. Total claim payment volume	911,952,358	-	911,952,358

B. ASC Plans

Not Applicable.

C. Medicare or Other Similarly Structured Cost Based Reimbursement Contract

(1) The Company records no revenue explicitly attributable to the cost share and reinsurance components of its Medicare or other similarly structured cost based reimbursement contracts.

(2) As of September 30, 2019, the Company has recorded a receivable from CMS of \$13,600,992 related to the cost share and reinsurance components of administered Medicare products and a receivable from ASO customers of \$10,846,897. The Company has recorded receivables from the following payors whose account balance are greater than 10% of the Company’s accounts receivable from uninsured accident and health plans or \$10,000:

Humana Inc.	\$ 1,695,891
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(3) As no revenue is recorded in connection with the cost share and reinsurance components of the Company’s Medicare or other similarly structured cost based reimbursement contracts, the Company has recorded no allowances and reserves for adjustment of recorded revenues and receivables.

(4) The Company has made no adjustment to revenue resulting from audit of receivables related to revenues recorded in the prior period.

19. Direct Premium Written/Produced by Managing General Agents/Third Party Administrators

Not Applicable.

20. Fair Value Measurements

A. (1) The fair value of financial assets at September 30, 2019 were as follows:

	Level 1	Level 2	Level 3	Net Asset Value (NAV)	Total
a. Assets at fair value					
Bonds				\$	-
U.S. governments	\$ -	\$ -	\$ -	\$ -	-
Tax-exempt municipal	-	-	-	-	-
Residential mortgage-backed	-	-	-	-	-
Corporate debt securities	-	1,927,517	-	-	1,927,517
Total bonds	-	1,927,517	-	-	1,927,517
Total assets at fair value/NAV	\$ -	\$ 1,927,517	\$ -	\$ -	\$ 1,927,517
b. Liabilities at fair value	\$ -	\$ -	\$ -	\$ -	-
Total liabilities at fair value	\$ -	\$ -	\$ -	\$ -	-

The Company reports transfers between Level 1 and Level 2 of the fair value hierarchy levels at the end of the reporting period. There were no transfers between Level 1 and Level 2 of the fair value hierarchy between December 31, 2018 and September 30, 2019.

(2) Fair Value Measurements in (Level 3) of the Fair Value Hierarchy

Not Applicable.

STATEMENT AS OF September 30, 2019 OF Humana Health Plan, Inc.

NOTES TO THE FINANCIAL STATEMENTS

(3) The Company reports transfers into or out of Level 3 of the fair value hierarchy levels at the end of the reporting period. There were no transfers into or out of Level 3 of the fair value hierarchy levels between December 31, 2018 and September 30, 2019.

(4) Fair value of actively traded debt securities are based on quoted market prices. Fair value of other debt securities are based on quoted market prices of identical or similar securities or based on observable inputs like interest rates generally using a market valuation approach, or, less frequently, an income valuation approach and are generally classified as Level 2. The Company generally obtains one quoted price for each security from a third party pricing service. These prices are generally derived from recently reported trades for identical or similar securities, including adjustments through the reporting date based upon observable market information. When quoted prices are not available, the third party pricing service may use quoted market prices of comparable securities or discounted cash flow analyses, incorporating inputs that are currently observable in the markets for similar securities. Inputs that are often used in the valuation methodologies include benchmark yields, reported trades, credit spreads, broker quotes, default rates and prepayment speeds. The Company is responsible for the determination of fair value and as such, the Company performs analysis on the prices received from the third party pricing service to determine whether the prices are reasonable estimates of fair value. The Company’s analysis includes a review of monthly price fluctuations as well as a quarterly comparison of the prices received from the pricing service to prices reported by the Company’s third party investment advisor. Based on the Company’s internal price verification procedures and review of fair value methodology documentation provided by the third party pricing service, there were no material adjustments to the prices obtained from the third party pricing service during the quarter ended September 30, 2019.

(5) Derivative Fair Values

Not Applicable.

B. Other Fair Value Disclosures

Not Applicable.

C. Fair Values for All Financial Instruments by Levels 1, 2 and 3

Type of Financial Instrument	Aggregate Fair Value					Net Asset Value (NAV)		Not Practicable (Carrying Value)	
	Value	Admitted Assets	Level 1	Level 2	Level 3				
Bonds and cash equivalents	\$ 646,551,536	\$ 633,863,179	\$ 66,197,578	\$ 580,353,958	\$ -	\$ -	\$ -	\$ -	-
Mortgage Loans	27,600,000	27,600,000	-	-	27,600,000	-	-	-	-
Total	\$ 674,151,536	\$ 661,463,179	\$ 66,197,578	\$ 580,353,958	\$ 27,600,000	\$ -	\$ -	\$ -	-

D. Financial Instruments for which Not Practicable to Estimate Fair Values

Not Applicable.

21. Other Items

A. Extraordinary Items

Not Applicable.

B. Troubled Debt Restructuring: Debtors

Not Applicable.

C. Other Disclosures and Unusual Items

Not Applicable.

D. Business Interruption Insurance Recoveries

Not Applicable.

E. State Transferable and Non-transferable Tax Credits

Not Applicable.

F. Subprime Mortgage Related Risk Exposure

(1) The Company consults with its external investment managers to assess its subprime mortgage related risk exposure. Certain characteristics are utilized to determine if a mortgage-backed security has subprime exposure. The main characteristics reviewed when determining this are the collateral and structure of the security, the loan purpose, loan documentation, occupancy, geographical location, loan size and type. Subprime mortgage borrowers typically have lower credit scores, lower loan balances and higher loan-to-values than other conforming loans. Management’s practices include reviewing quantitative and qualitative credit models that analyze loan-level collateral composition, historical underwriter performance trends, the impact of macroeconomic factors, and issuer risks; as well as reviewing the estimation of security cash flows and monthly model calibrations.

STATEMENT AS OF September 30, 2019 OF Humana Health Plan, Inc.

NOTES TO THE FINANCIAL STATEMENTS

- (2) Direct exposure through investments in sub-prime mortgage loans.

The Company has no direct exposure through investment to sub-prime mortgage loans.

- (3) Direct exposure through other investments:

- a. Residential mortgage backed securities – No substantial exposure noted.
- b. Commercial mortgage backed securities – No substantial exposure noted.
- c. Collateralized debt obligations – No substantial exposure noted.
- d. Structured securities – No substantial exposure noted.
- e. Equity investment in SCAs – No substantial exposure noted.
- f. Other assets – No substantial exposure noted.
- g. Total – No substantial exposure noted.

- (4) Underwriting exposure to sub-prime mortgage risk through Mortgage Guaranty coverage, Financial Guaranty coverage, Directors and Officers liability coverage, or Errors and Omissions liability coverage.

Not Applicable.

Classification of mortgage related securities is primarily based on information from outside data services, including rating agency actions. When considering our exposure, the Company evaluated the percentage of full documentation loans, percent of owner occupied properties, FICO scores, average margin for ARM loans, percent of loans with prepayment penalties, the existence of non-traditional underwriting standards, among other factors.

G. Retained Assets

Not Applicable.

H. Insurance Linked Securities

Not Applicable.

22. Events Subsequent

The Company is not aware of any events or transactions occurring subsequent to the close of the books for this statement which may have a material effect on its financial condition. Subsequent events have been considered through November 12, 2019 for the Statutory Statement issued on November 12, 2019.

23. Reinsurance

A. Ceded Reinsurance Report

Section 1 – General Interrogatories

- (1) Are any of the reinsurers, listed in Schedule S as non-affiliated, owned in excess of 10.0 percent or controlled, either directly or indirectly, by the company or by any representative, officer, trustee, or director of the company?

Yes ( ) No ( X )

- (2) Have any policies issued by the company been reinsured with a company chartered in a country other than the United States (excluding U.S. Branches of such companies) that is owned in excess of 10.0 percent or controlled directly or indirectly by an insured, a beneficiary, a creditor or an insured or any other person not primarily engaged in the insurance business?

Yes ( ) No ( X )

Section 2 – Ceded Reinsurance Report – Part A

- (1) Does the company have any reinsurance agreements in effect under which the reinsurer may unilaterally cancel any reinsurance for reasons other than for nonpayment of premium or other similar credits?

Yes ( ) No ( X )

- (2) Does the reporting entity have any reinsurance agreements in effect such that the amount of losses paid or accrued through the statement date may result in a payment to the reinsurer of amounts that, in aggregate and allowing for offset of mutual credits from other reinsurance agreements with the same reinsurer, exceed the total direct premium collected under the reinsured policies?

Yes ( ) No ( X )

Section 3 – Ceded Reinsurance Report – Part B

- (1) What is the estimated amount of the aggregate reduction in surplus, (for agreements other than those under which the reinsurer may unilaterally cancel for reasons other than for nonpayment of premium or other similar credits that are reflected in Section 2 above) of termination of ALL reinsurance agreements, by either party, as of the date of this statement? Where necessary, the company may consider the current or anticipated experience of the business reinsured in making this estimate. \$0

STATEMENT AS OF September 30, 2019 OF Humana Health Plan, Inc.

NOTES TO THE FINANCIAL STATEMENTS

- (2) Have any new agreements been executed or existing agreements amended, since January 1 of the year of this statement, to include policies or contracts that were in force or which had existing reserves established by the company as of the effective date of the agreement?

Yes ( ) No ( X )

B. Uncollectible Reinsurance

Not Applicable.

C. Commutation of Ceded Reinsurance

Not Applicable.

D. Certified Reinsurer Rating Downgraded or Status Subject to Revocation

Not Applicable.

24. Retrospectively Rated Contracts and Contracts Subject to Redetermination

- A. The Company estimates accrued retrospective premium adjustments for its Medicare business through a mathematical approach using an algorithm based upon settlement procedures defined by contracts with CMS.

The Company estimates accrued retrospective premium adjustments for its Commercial business based on experience to date, knowledge of the marketplace, and the terms of the risk corridors program with HHS.

- B. The Company records accrued retrospective premium as an adjustment to earned premiums.

- C. The amount of net premiums written by the Company at September 30, 2019 that are subject to retrospective rating features was \$784,277,716, or 93.98% of the total net premiums written. No other net premiums written by the Company are subject to retrospective rating features.

- D. Medical loss ratio rebates required pursuant to the Public Health Service Act

	Individual	Small Group Employer	Large Group Employer	Other Categories with rebates	Total
Prior Reporting Year:					
Medical loss ratio rebates incurred	\$ -	\$ 440,421	\$ 297,445	\$ 560,724	\$ 1,298,590
Medical loss ratio rebates paid	-	27,381	382,969	-	410,350
Medical loss rebates unpaid	-	413,040	821,802	6,041,395	7,276,237
Plus reinsurance assumed amounts	XXX	XXX	XXX	XXX	-
Less reinsurance ceded amounts	XXX	XXX	XXX	XXX	-
Rebates unpaid net of reinsurance	XXX	XXX	XXX	XXX	\$ 7,276,237
Current Reporting Year-to-date:					
Medical loss ratio rebates incurred	\$ -	\$ 1,609,644	\$ 530,035	\$ (205,791)	\$ 1,933,888
Medical loss ratio rebates paid	-	1,198,624	469,226	5,835,604	7,503,454
Medical loss rebates unpaid	-	824,060	882,611	-	1,706,671
Plus reinsurance assumed amounts	XXX	XXX	XXX	XXX	-
Less reinsurance ceded amounts	XXX	XXX	XXX	XXX	-
Rebates unpaid net of reinsurance	XXX	XXX	XXX	XXX	\$ 1,706,671

- E. Risk Sharing Provisions of the Affordable Care Act

- (1) Did the reporting entity write accident and health insurance premium that is subject to the Affordable Care Act risk-sharing provisions (YES/NO) Yes ( X ) No ( )

- (2) Impact of Risk Sharing Provisions of the Affordable Care Act on Admitted Assets, Liabilities, and Revenue for the Current Year

a. Permanent ACA Risk Adjustment Program

Assets

1. Premium adjustments receivable due to ACA Risk Adjustment (including high risk pool payments) \$ 336,571

Liabilities

2. Risk adjustment user fees payable for ACA Risk Adjustment \$ 46,364  
3. Premium adjustments payable due to ACA Risk Adjustment (including high risk pool premium) \$ 4,863,618

Operations (Revenue & Expenses)

4. Reported as revenue in premium for accident and health contracts (written/collected) due to ACA Risk Adjustment \$ (8,797,524)  
5. Reported in expenses as ACA risk adjustment user fees (incurred/paid) \$ 55,591

b. Transitional ACA Reinsurance Program

Assets

1. Amounts recoverable for claims paid due to ACA Reinsurance \$ -  
2. Amounts recoverable for claims unpaid due to ACA Reinsurance (Contra Liability) \$ -  
3. Amounts receivable relating to uninsured plans for contributions for ACA Reinsurance

\$ -

STATEMENT AS OF September 30, 2019 OF Humana Health Plan, Inc.

NOTES TO THE FINANCIAL STATEMENTS

Liabilities			
4.	Liabilities for contributions payable due to ACA Reinsurance – not reported as ceded premium	\$	-
5.	Ceded reinsurance premiums payable due to ACA Reinsurance	\$	-
6.	Liabilities for amounts held under uninsured plans contributions for ACA Reinsurance		
		\$	-
Operations (Revenues & Expenses)			
7.	Ceded reinsurance premiums due to ACA Reinsurance	\$	-
8.	Reinsurance recoveries (income statement) due to ACA Reinsurance payments or expected payments	\$	97,277
9.	ACA Reinsurance contributions – not reported as ceded premiums	\$	-
c. Temporary ACA Risk Corridors Program			
Assets			
1.	Accrued retrospective premium due to ACA Risk Corridors	\$	-
Liabilities			
2.	Reserve for rate credits or policy experience rating refunds due to ACA Risk Corridors	\$	-
Operations (Revenue & Expenses)			
3.	Effect of ACA Risk Corridors on net premium income	\$	-
4.	Effect of ACA Risk Corridors on change in reserves for rate credits	\$	-

(3) Roll-forward of Prior Year ACA Risk-sharing Provisions for the Following Asset (Gross of Any Nonadmission) and Liability Balances, Along with the Reasons for Adjustments to Prior Year Balance.

Accrued During the Prior Year on Business Written Before December 31 of the Prior Year		Received or Paid as of the Current Year on Business Written Before December 31 of the Prior Year		Differences		Adjustments			Unsettled Balances as of the Reporting Date	
				Prior Year Accrued Less Payments (Col 1-3)	Prior Year Accrued Less Payments (Col 2-4)	To Prior Year Balances	To Prior Year Balances		Cumulative Balance from Prior Years (Col 1-3+7)	Cumulative Balance from Prior Years (Col 2-4+8)
				5	6	7	8		9	10
1	2	3	4	Receivable	(Payable)	Receivable	(Payable)	Ref	Receivable	(Payable)
a. Permanent ACA Risk Adjustment Program										
1.	Premium adjustments receivable (including high risk pool payments)	113,205	120,144	(6,939)		302,314		A.	295,375	
2.	Premium adjustments (payables) (including high risk pool premium)	(3,419,551)	(7,696,966)		4,277,415		(5,450,935)	B.		(1,173,520)
3.	Subtotal ACA Permanent Risk Adjustment Program	113,205	(3,419,551)	120,144	(7,696,966)	(6,939)	4,277,415	302,314	(5,450,935)	295,375 (1,173,520)
b. Transitional ACA Reinsurance Program										
1.	Amounts recoverable for claims paid	-	(97,277)	97,277		(97,277)		C.	-	
2.	Amounts recoverable for claims unpaid (contra liability)	-	-	-		-			-	
3.	Amounts receivable relating to uninsured plans	-	-	-		-			-	
4.	Liabilities for contributions payable due to ACA Reinsurance- not reported as ceded premium		-	-		-		-		-
5.	Ceded reinsurance premiums payable		-	-		-		-		-
6.	Liability for amounts held under uninsured plans		-	-		-		-		-
7.	Subtotal ACA Transitional Reinsurance Program	-	-	(97,277)	-	97,277	-	(97,277)	-	-
c. Temporary ACA Risk Corridors Program										
1.	Accrued retrospective premium	-	-	-		-			-	
2.	Reserve for rate credits or policy experience rating refunds		-	-		-		-		-
3.	Subtotal ACA Risk Corridors Program	-	-	-	-	-	-	-	-	-
d. Total for ACA Risk Sharing Provisions										
		113,205	(3,419,551)	22,867	(7,696,966)	90,338	4,277,415	205,037	(5,450,935)	295,375 (1,173,520)

STATEMENT AS OF September 30, 2019 OF Humana Health Plan, Inc.

NOTES TO THE FINANCIAL STATEMENTS

- Explanations of adjustments
- A. Adjustments related to updates received from CMS associated with 2018 benefit year and the latest data from Wakely Consulting.
- B. Small Group estimate changes for unfinalized years, based on latest data from Wakely Consulting.
- C. Adjustments related to payments received from CMS associated with 2016 benefit year.

(4) Roll-Forward of Risk Corridors Asset and Liability Balances by Program Benefit Year

Not Applicable.

(5) ACA Risk Corridors Receivable as of Reporting Date

Risk Corridors Program Year	Estimated Amount to be Filed or Final Amount Filed with CMS	Non-Accrued Amounts for Impairment or Other Reasons	Amounts received from CMS	Assets Balance (Gross of Non-admissions) (1-2-3)	Non-admitted Amount	Net Admitted Asset (4-5)
a. 2014	\$ 11,865,338	\$ 9,878,434	\$ 1,986,904	\$ -	\$ -	\$ -
b. 2015	5,541,529	5,541,529	-	-	-	-
c. 2016	5,326,821	5,326,821	-	-	-	-
d. Total (a+b+c)	\$ 22,733,688	\$ 20,746,784	\$ 1,986,904	\$ -	\$ -	\$ -

25. Change in Incurred Claims and Claim Adjustment Expenses

Reserves as of December 31, 2018 were \$365,978,695. As of September 30, 2019, \$320,499,965 has been paid for incurred claims and claim adjustment expenses attributable to insured events of prior years. Reserves remaining for prior years are now \$10,566,454 as a result of re-estimation of unpaid claims and claim adjustment expenses. Therefore, there has been a \$34,912,275 favorable prior-year development since December 31, 2018. The decrease is generally the result of ongoing analysis of recent loss development trends. Original estimates are increased or decreased as additional information becomes known regarding individual claims. The amounts presented in this footnote exclude any impact related to Pharmacy Rebates and other Healthcare Receivable activity. Impact of such receivables can be seen in Footnote 28. The Company did not experience any material prior year claim development on retrospectively rated policies.

26. Intercompany Pooling Arrangements

Not Applicable.

27. Structured Settlements

The Company has no structured settlements.

28. Health Care Receivables

A. Pharmaceutical Rebate Receivables

Quarter	Estimate Pharmacy Rebates as Reported on Financial Statements	Pharmacy Rebates as Billed or Otherwise Confirmed	Actual Rebates Received Within 90 Days of Billing	Actual Rebates Received Within 91 to 180 Days of Billing	Actual Rebates Received More than 181 Days after Billing
12/31/2019	\$ -	\$ -	\$ -	\$ -	\$ -
9/30/2019	18,037,589	18,037,589	-	-	-
6/30/2019	44,603,286	44,603,286	44,291,107	-	-
3/31/2019	53,303,634	53,303,634	52,951,099	-	-
12/31/2018	51,135,579	51,135,579	50,550,193	443,535	71,592
9/30/2018	67,866,728	67,866,728	67,578,313	288,415	-
6/30/2018	90,673,370	90,673,370	90,238,029	435,341	-
3/31/2018	69,388,291	69,388,291	69,388,291	-	-
12/31/2017	88,332,259	88,332,259	83,347,892	4,869,167	115,200
9/30/2017	99,311,940	99,311,940	99,276,848	-	35,092
6/30/2017	91,483,606	91,483,606	91,381,476	40,840	61,290
3/31/2017	92,019,062	92,019,062	92,010,429	-	8,633

B. Risk Sharing Receivables

Not Applicable.

NOTES TO THE FINANCIAL STATEMENTS

29. Participating Policies

The Company has no participating policies.

30. Premium Deficiency Reserves

- |    |  |                   |
|----|--|-------------------|
| 1. | Liability carried for premium deficiency reserves              | \$ 714,000        |
| 2. | Date of the most recent evaluation of this liability           | December 31, 2018 |
| 3. | Was anticipated investment income utilized in the calculation? | Yes ( ) No ( X )  |

The Company did recognize the time value of money by discounting future losses at an annual interest rate of 2.56%.

31. Anticipated Salvage and Subrogation

Not Applicable.



GENERAL INTERROGATORIES

PART 1 - COMMON INTERROGATORIES

GENERAL

1.1

Did the reporting entity experience any material transactions requiring the filing of Disclosure of Material Transactions with the State of Domicile, as required by the Model Act? .....

Yes ☒ No ☐

1.2

If yes, has the report been filed with the domiciliary state? .....

Yes ☒ No ☐

2.1

Has any change been made during the year of this statement in the charter, by-laws, articles of incorporation, or deed of settlement of the reporting entity? .....

Yes ☐ No ☒

2.2

If yes, date of change: .....

3.1

Is the reporting entity a member of an Insurance Holding Company System consisting of two or more affiliated persons, one or more of which is an insurer? .....

If yes, complete Schedule Y, Parts 1 and 1A.

Yes ☒ No ☐

3.2

Have there been any substantial changes in the organizational chart since the prior quarter end? .....

Yes ☐ No ☒

3.3

If the response to 3.2 is yes, provide a brief description of those changes.

3.4

Is the reporting entity publicly traded or a member of a publicly traded group? .....

Yes ☒ No ☐

3.5

If the response to 3.4 is yes, provide the CIK (Central Index Key) code issued by the SEC for the entity/group. ....

0000049071

4.1

Has the reporting entity been a party to a merger or consolidation during the period covered by this statement? .....

If yes, complete and file the merger history data file with the NAIC for the annual filing corresponding to this period.

Yes ☐ No ☒

4.2

If yes, provide the name of the entity, NAIC Company Code, and state of domicile (use two letter state abbreviation) for any entity that has ceased to exist as a result of the merger or consolidation.

1	2	3
Name of Entity	NAIC Company Code	State of Domicile
NA .....		
NA .....		

5.

If the reporting entity is subject to a management agreement, including third-party administrator(s), managing general agent(s), attorney-in-fact, or similar agreement, have there been any significant changes regarding the terms of the agreement or principals involved? .....

If yes, attach an explanation.

Yes ☐ No ☒ N/A ☐

6.1

State as of what date the latest financial examination of the reporting entity was made or is being made. ....

12/31/2018

6.2

State the as of date that the latest financial examination report became available from either the state of domicile or the reporting entity. This date should be the date of the examined balance sheet and not the date the report was completed or released. ....

12/31/2015

6.3

State as of what date the latest financial examination report became available to other states or the public from either the state of domicile or the reporting entity. This is the release date or completion date of the examination report and not the date of the examination (balance sheet date). ....

09/30/2015

6.4

By what department or departments?  
Commonwealth of Kentucky Department of Insurance

6.5

Have all financial statement adjustments within the latest financial examination report been accounted for in a subsequent financial statement filed with Departments? .....

Yes ☒ No ☐ N/A ☐

6.6

Have all of the recommendations within the latest financial examination report been complied with? .....

Yes ☒ No ☐ N/A ☐

7.1

Has this reporting entity had any Certificates of Authority, licenses or registrations (including corporate registration, if applicable) suspended or revoked by any governmental entity during the reporting period? .....

Yes ☐ No ☒

7.2

If yes, give full information:

8.1

Is the company a subsidiary of a bank holding company regulated by the Federal Reserve Board? .....

Yes ☐ No ☒

8.2

If response to 8.1 is yes, please identify the name of the bank holding company.

8.3

Is the company affiliated with one or more banks, thrifts or securities firms? .....

Yes ☐ No ☒

8.4

If response to 8.3 is yes, please provide below the names and location (city and state of the main office) of any affiliates regulated by a federal regulatory services agency [i.e. the Federal Reserve Board (FRB), the Office of the Comptroller of the Currency (OCC), the Federal Deposit Insurance Corporation (FDIC) and the Securities Exchange Commission (SEC)] and identify the affiliate's primary federal regulator.

1	2	3	4	5	6
Affiliate Name	Location (City, State)	FRB	OCC	FDIC	SEC

GENERAL INTERROGATORIES

- 9.1

Are the senior officers (principal executive officer, principal financial officer, principal accounting officer or controller, or persons performing similar functions) of the reporting entity subject to a code of ethics, which includes the following standards? .....  
(a) Honest and ethical conduct, including the ethical handling of actual or apparent conflicts of interest between personal and professional relationships;  
(b) Full, fair, accurate, timely and understandable disclosure in the periodic reports required to be filed by the reporting entity;  
(c) Compliance with applicable governmental laws, rules and regulations;  
(d) The prompt internal reporting of violations to an appropriate person or persons identified in the code; and  
(e) Accountability for adherence to the code.

Yes [ X ] No [ ]
- 9.11

If the response to 9.1 is No, please explain:
- 9.2

Has the code of ethics for senior managers been amended? .....

Yes [ X ] No [ ]
- 9.21

If the response to 9.2 is Yes, provide information related to amendment(s).  
Ethics Every Day was amended to update content based on needed revisions and perform general document maintenance, including new Humana brand standards.
- 9.3

Have any provisions of the code of ethics been waived for any of the specified officers? .....

Yes [ ] No [ X ]
- 9.31

If the response to 9.3 is Yes, provide the nature of any waiver(s).

FINANCIAL

- 10.1

Does the reporting entity report any amounts due from parent, subsidiaries or affiliates on Page 2 of this statement? .....

Yes [ ] No [ X ]
- 10.2

If yes, indicate any amounts receivable from parent included in the Page 2 amount: .....

\$ .....0

INVESTMENT

- 11.1

Were any of the stocks, bonds, or other assets of the reporting entity loaned, placed under option agreement, or otherwise made available for use by another person? (Exclude securities under securities lending agreements.) .....

Yes [ ] No [ X ]
- 11.2

If yes, give full and complete information relating thereto:
12.

Amount of real estate and mortgages held in other invested assets in Schedule BA: .....

\$ .....0
13.

Amount of real estate and mortgages held in short-term investments: .....

\$ .....0
- 14.1

Does the reporting entity have any investments in parent, subsidiaries and affiliates? .....

Yes [ ] No [ X ]
- 14.2

If yes, please complete the following:
- |   | 1   | 2  |
|---|---|--|
|   | Prior Year-End Book/Adjusted Carrying Value | Current Quarter Book/Adjusted Carrying Value |
| 14.21 Bonds .....   | \$ .....0                                   | \$ .....0                                    |
| 14.22 Preferred Stock .....   | \$ .....0                                   | \$ .....0                                    |
| 14.23 Common Stock .....  | \$ .....16,619,557                          | \$ .....0                                    |
| 14.24 Short-Term Investments .....  | \$ .....0                                   | \$ .....0                                    |
| 14.25 Mortgage Loans on Real Estate .....   | \$ .....0                                   | \$ .....0                                    |
| 14.26 All Other .....   | \$ .....0                                   | \$ .....0                                    |
| 14.27 Total Investment in Parent, Subsidiaries and Affiliates (Subtotal Lines 14.21 to 14.26) ..... | \$ .....16,619,557                          | \$ .....0                                    |
| 14.28 Total Investment in Parent included in Lines 14.21 to 14.26 above .....                       | \$ .....0                                   | \$ .....0                                    |
- 15.1

Has the reporting entity entered into any hedging transactions reported on Schedule DB? .....

Yes [ ] No [ X ]
- 15.2

If yes, has a comprehensive description of the hedging program been made available to the domiciliary state? .....  
If no, attach a description with this statement.

Yes [ ] No [ ]
16.

For the reporting entity's security lending program, state the amount of the following as of the current statement date:
- 16.1

Total fair value of reinvested collateral assets reported on Schedule DL, Parts 1 and 2. ....

\$ .....0
- 16.2

Total book adjusted/carrying value of reinvested collateral assets reported on Schedule DL, Parts 1 and 2 .....

\$ .....0
- 16.3

Total payable for securities lending reported on the liability page. ....

\$ .....0

GENERAL INTERROGATORIES

17. Excluding items in Schedule E - Part 3 - Special Deposits, real estate, mortgage loans and investments held physically in the reporting entity's offices, vaults or safety deposit boxes, were all stocks, bonds and other securities, owned throughout the current year held pursuant to a custodial agreement with a qualified bank or trust company in accordance with Section 1, III - General Examination Considerations, F. Outsourcing of Critical Functions, Custodial or Safekeeping Agreements of the NAIC Financial Condition Examiners Handbook? 

Yes [ X ] No [ ]
- 17.1 For all agreements that comply with the requirements of the NAIC Financial Condition Examiners Handbook, complete the following:

1 Name of Custodian(s)	2 Custodian Address
JP Morgan Chase	4 Metro Tech Center, 6th Floor, Mail Code: NY1-C512, Brooklyn, NY 11245, Attn: Charline Ottley

- 17.2 For all agreements that do not comply with the requirements of the NAIC Financial Condition Examiners Handbook, provide the name, location and a complete explanation:

1 Name(s)	2 Location(s)	3 Complete Explanation(s)

- 17.3 Have there been any changes, including name changes, in the custodian(s) identified in 17.1 during the current quarter? 

Yes [ ] No [ X ]
- 17.4 If yes, give full information relating thereto:

1 Old Custodian	2 New Custodian	3 Date of Change	4 Reason

- 17.5 Investment management – Identify all investment advisors, investment managers, broker/dealers, including individuals that have the authority to make investment decisions on behalf of the reporting entity. For assets that are managed internally by employees of the reporting entity, note as such. ["...that have access to the investment accounts"; "...handle securities"]

1 Name of Firm or Individual	2 Affiliation
BLACKROCK FINANCIAL MANAGEMENT, INC	U
W. Mark Preston	I

- 17.5097 For those firms/individuals listed in the table for Question 17.5, do any firms/individuals unaffiliated with the reporting entity (i.e. designated with a "U") manage more than 10% of the reporting entity's assets? 

Yes [ X ] No [ ]

- 17.5098 For firms/individuals unaffiliated with the reporting entity (i.e. designated with a "U") listed in the table for Question 17.5, does the total assets under management aggregate to more than 50% of the reporting entity's assets? 

Yes [ X ] No [ ]

- 17.6 For those firms or individuals listed in the table for 17.5 with an affiliation code of "A" (affiliated) or "U" (unaffiliated), provide the information for the table below.

1	2	3	4	5
Central Registration Depository Number	Name of Firm or Individual	Legal Entity Identifier (LEI)	Registered With	Investment Management Agreement (IMA) Filed
107105	BLACKROCK FINANCIAL MANAGEMENT, INC	549300LVXY1VJKE13M84	The SEC	DS

- 18.1 Have all the filing requirements of the Purposes and Procedures Manual of the NAIC Investment Analysis Office been followed? 

Yes [ X ] No [ ]
- 18.2 If no, list exceptions:

19. By self-designating 5GI securities, the reporting entity is certifying the following elements for each self-designated 5GI security:

a. Documentation necessary to permit a full credit analysis of the security does not exist or an NAIC CRP credit rating for an FE or PL security is not available.

b. Issuer or obligor is current on all contracted interest and principal payments.

c. The insurer has an actual expectation of ultimate payment of all contracted interest and principal.

Has the reporting entity self-designated 5GI securities? 

Yes [ ] No [ X ]
20. By self-designating PLGI securities, the reporting entity is certifying the following elements of each self-designated PLGI security:

a. The security was purchased prior to January 1, 2018.

b. The reporting entity is holding capital commensurate with the NAIC Designation reported for the security.

c. The NAIC Designation was derived from the credit rating assigned by an NAIC CRP in its legal capacity as a NRSRO which is shown on a current private letter rating held by the insurer and available for examination by state insurance regulators.

d. The reporting entity is not permitted to share this credit rating of the PL security with the SVO.

Has the reporting entity self-designated PLGI securities? 

Yes [ ] No [ X ]
- 11.2

GENERAL INTERROGATORIES

PART 2 - HEALTH

1.

Operating Percentages:

1.1 A&H loss percent

86.1 %

1.2 A&H cost containment percent

5.9 %

1.3 A&H expense percent excluding cost containment expenses

7.6 %

2.1

Do you act as a custodian for health savings accounts?

Yes [ ] No [ X ]

2.2

If yes, please provide the amount of custodial funds held as of the reporting date

\$0

2.3

Do you act as an administrator for health savings accounts?

Yes [ ] No [ X ]

2.4

If yes, please provide the balance of the funds administered as of the reporting date

\$0

3.

Is the reporting entity licensed or chartered, registered, qualified, eligible or writing business in at least two states?

Yes [ X ] No [ ]

3.1

If no, does the reporting entity assume reinsurance business that covers risks residing in at least one state other than the state of domicile of the reporting entity?

Yes [ ] No [ ]

STATEMENT AS OF SEPTEMBER 30, 2019 OF THE Humana Health Plan Inc.

## SCHEDULE S - CEDED REINSURANCE

Showing All New Reinsurance Treaties - Current Year to Date

[illegible]

SCHEDULE T - PREMIUMS AND OTHER CONSIDERATIONS

Current Year to Date - Allocated by States and Territories

		1	Direct Business Only							
States, etc.		Active Status (a)	Accident and Health Premiums	Medicare Title XVIII	Medicaid Title XIX	Federal Employees Health Benefits Program Premiums	Life and Annuity Premiums & Other Considerations	Property/ Casualty Premiums	Total Columns 2 Through 7	Deposit-Type Contracts
1.	Alabama	AL	L	0	1,042,577	0	0	0	1,042,577	0
2.	Alaska	AK	N	0	0	0	0	0	0	0
3.	Arizona	AZ	L	52,203,017	287,098	0	6,651,673	0	59,141,788	0
4.	Arkansas	AR	L	0	1,677,791	0	0	0	1,677,791	0
5.	California	CA	N	0	0	0	0	0	0	0
6.	Colorado	CO	L	40,845,252	(353,202)	0	3,898,503	0	44,390,553	0
7.	Connecticut	CT	N	0	0	0	0	0	0	0
8.	Delaware	DE	N	0	0	0	0	0	0	0
9.	District of Columbia	DC	N	0	0	0	0	0	0	0
10.	Florida	FL	N	0	0	0	0	0	0	0
11.	Georgia	GA	N	0	0	0	0	0	0	0
12.	Hawaii	HI	N	0	0	0	0	0	0	0
13.	Idaho	ID	L	0	(95,565)	0	0	0	(95,565)	0
14.	Illinois	IL	L	42,763,601	107,173,251	42,667,590	32,927,265	0	225,531,706	0
15.	Indiana	IN	L	40,085,166	3,268,163	0	0	0	43,353,329	0
16.	Iowa	IA	N	0	0	0	0	0	0	0
17.	Kansas	KS	L	987,975	(318,970)	0	14,479,988	0	15,148,993	0
18.	Kentucky	KY	L	422,551,518	254,309	719,647,878	5,665,643	0	1,148,119,349	0
19.	Louisiana	LA	N	0	0	0	0	0	0	0
20.	Maine	ME	N	0	0	0	0	0	0	0
21.	Maryland	MD	N	0	0	0	0	0	0	0
22.	Massachusetts	MA	N	0	0	0	0	0	0	0
23.	Michigan	MI	N	0	0	0	0	0	0	0
24.	Minnesota	MN	N	0	0	0	0	0	0	0
25.	Mississippi	MS	N	0	0	0	0	0	0	0
26.	Missouri	MO	L	208,445	(451,325)	0	0	0	(242,880)	0
27.	Montana	MT	N	0	0	0	0	0	0	0
28.	Nebraska	NE	L	0	7,486	0	0	0	7,486	0
29.	Nevada	NV	L	892,968	206,000	0	0	0	1,098,968	0
30.	New Hampshire	NH	N	0	0	0	0	0	0	0
31.	New Jersey	NJ	N	0	0	0	0	0	0	0
32.	New Mexico	NM	L	0	216,735	0	0	0	216,735	0
33.	New York	NY	N	0	0	0	0	0	0	0
34.	North Carolina	NC	N	0	0	0	0	0	0	0
35.	North Dakota	ND	N	0	0	0	0	0	0	0
36.	Ohio	OH	L	0	0	0	0	0	0	0
37.	Oklahoma	OK	N	0	0	0	0	0	0	0
38.	Oregon	OR	N	0	0	0	0	0	0	0
39.	Pennsylvania	PA	N	0	0	0	0	0	0	0
40.	Rhode Island	RI	N	0	0	0	0	0	0	0
41.	South Carolina	SC	L	0	1,022,731	0	0	0	1,022,731	0
42.	South Dakota	SD	N	0	0	0	0	0	0	0
43.	Tennessee	TN	L	6,655,783	1	0	765,590	0	7,421,375	0
44.	Texas	TX	L	0	(2,935,006)	0	0	0	(2,935,006)	0
45.	Utah	UT	N	0	0	0	0	0	0	0
46.	Vermont	VT	N	0	0	0	0	0	0	0
47.	Virginia	VA	L	0	3,158,993	83,817	0	0	3,242,810	0
48.	Washington	WA	L	0	461,354	0	0	0	461,354	0
49.	West Virginia	WV	L	0	0	0	0	0	0	0
50.	Wisconsin	WI	N	0	0	0	0	0	0	0
51.	Wyoming	WY	N	0	0	0	0	0	0	0
52.	American Samoa	AS	N	0	0	0	0	0	0	0
53.	Guam	GU	N	0	0	0	0	0	0	0
54.	Puerto Rico	PR	N	0	0	0	0	0	0	0
55.	U.S. Virgin Islands	VI	N	0	0	0	0	0	0	0
56.	Northern Mariana Islands	MP	N	0	0	0	0	0	0	0
57.	Canada	CAN	N	0	0	0	0	0	0	0
58.	Aggregate Other Aliens	OT	XXX	0	0	0	0	0	0	0
59.	Subtotal	XXX	607,193,726	114,622,420	762,399,285	64,388,662	0	0	1,548,604,093	0
60.	Reporting Entity Contributions for Employee Benefit Plans	XXX	0	0	0	0	0	0	0	0
61.	Totals (Direct Business)	XXX	607,193,726	114,622,420	762,399,285	64,388,662	0	0	1,548,604,093	0
DETAILS OF WRITE-INS										
58001.		XXX								
58002.		XXX								
58003.		XXX								
58998.	Summary of remaining write-ins for Line 58 from overflow page	XXX	0	0	0	0	0	0	0	0
58999.	Totals (Lines 58001 through 58003 plus 58998)(Line 58 above)	XXX	0	0	0	0	0	0	0	0

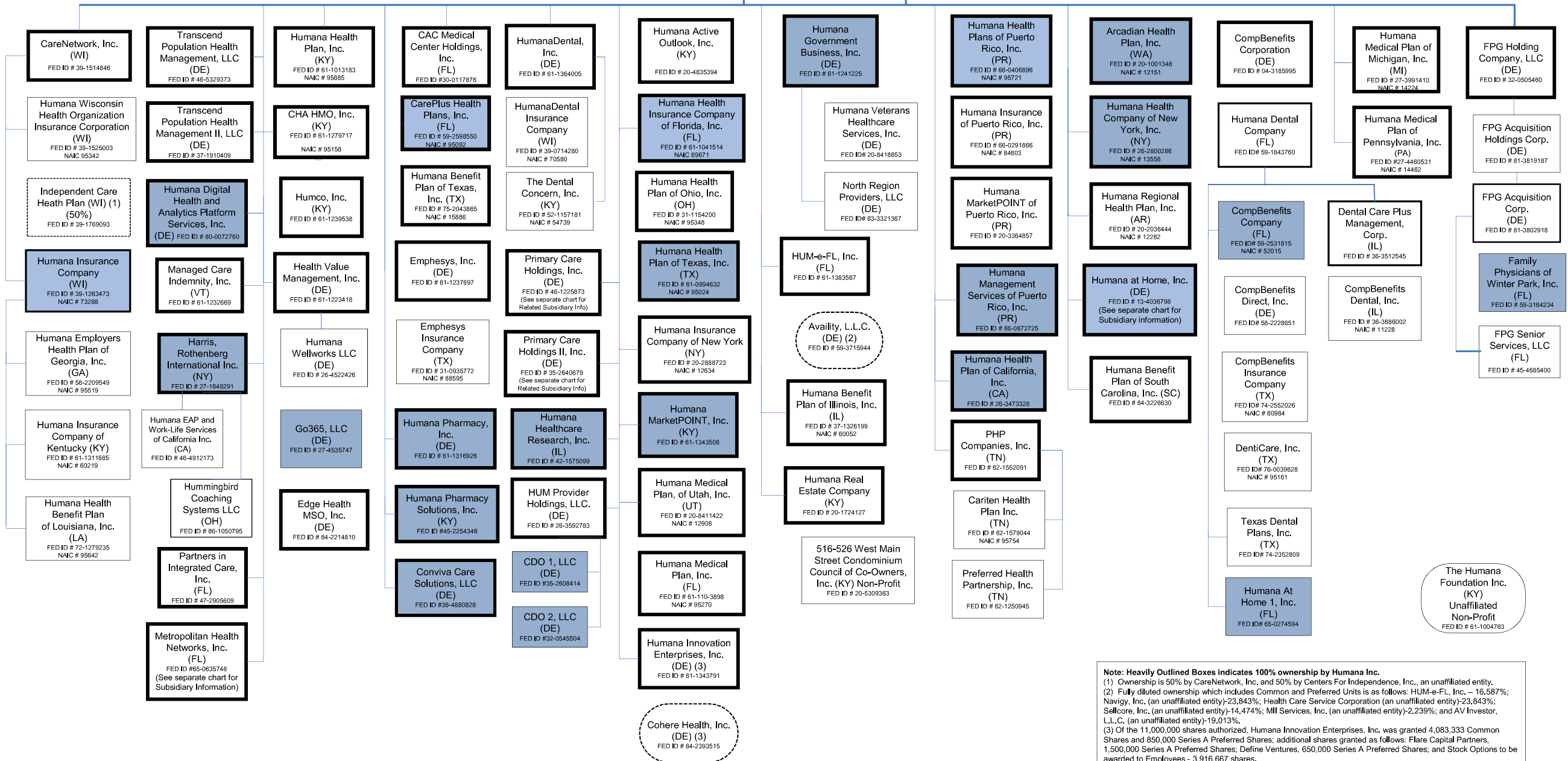
(a) Active Status Counts:  
L - Licensed or Chartered - Licensed Insurance carrier or domiciled RRG.....20 R - Registered - Non-domiciled RRGs.....0  
E - Eligible - Reporting entities eligible or approved to write surplus lines in the state.....0 Q - Qualified - Qualified or accredited reinsurer.....0  
N - None of the above - Not allowed to write business in the state.....37  
0.00

## STATEMENT AS OF SEPTEMBER 30, 2019 OF THE Humana Health Plan Inc.

Humana Inc.  
(DE)  
FED ID # 61-0647538

As of 9/30/2019

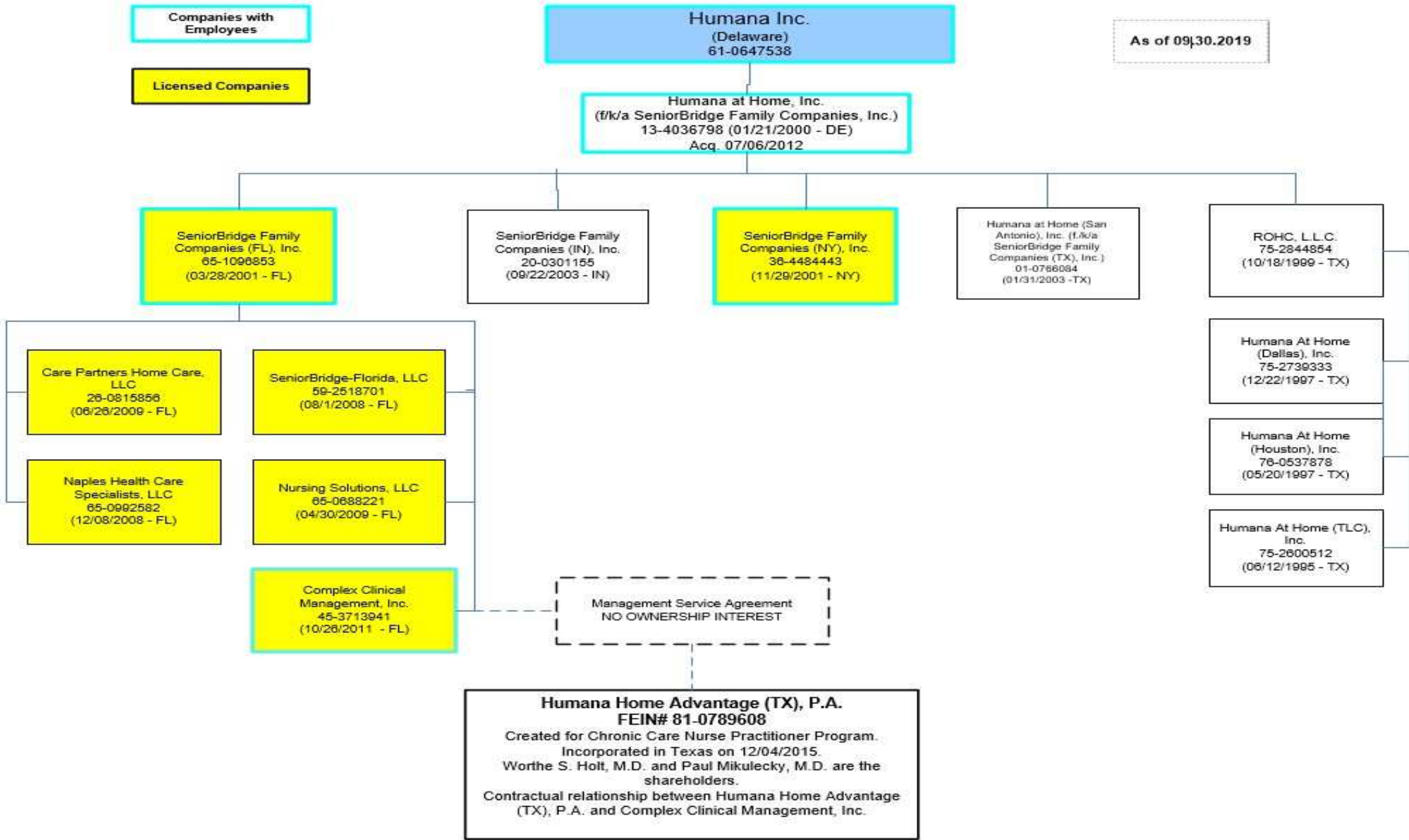
**Blue boxes indicate companies with employees**



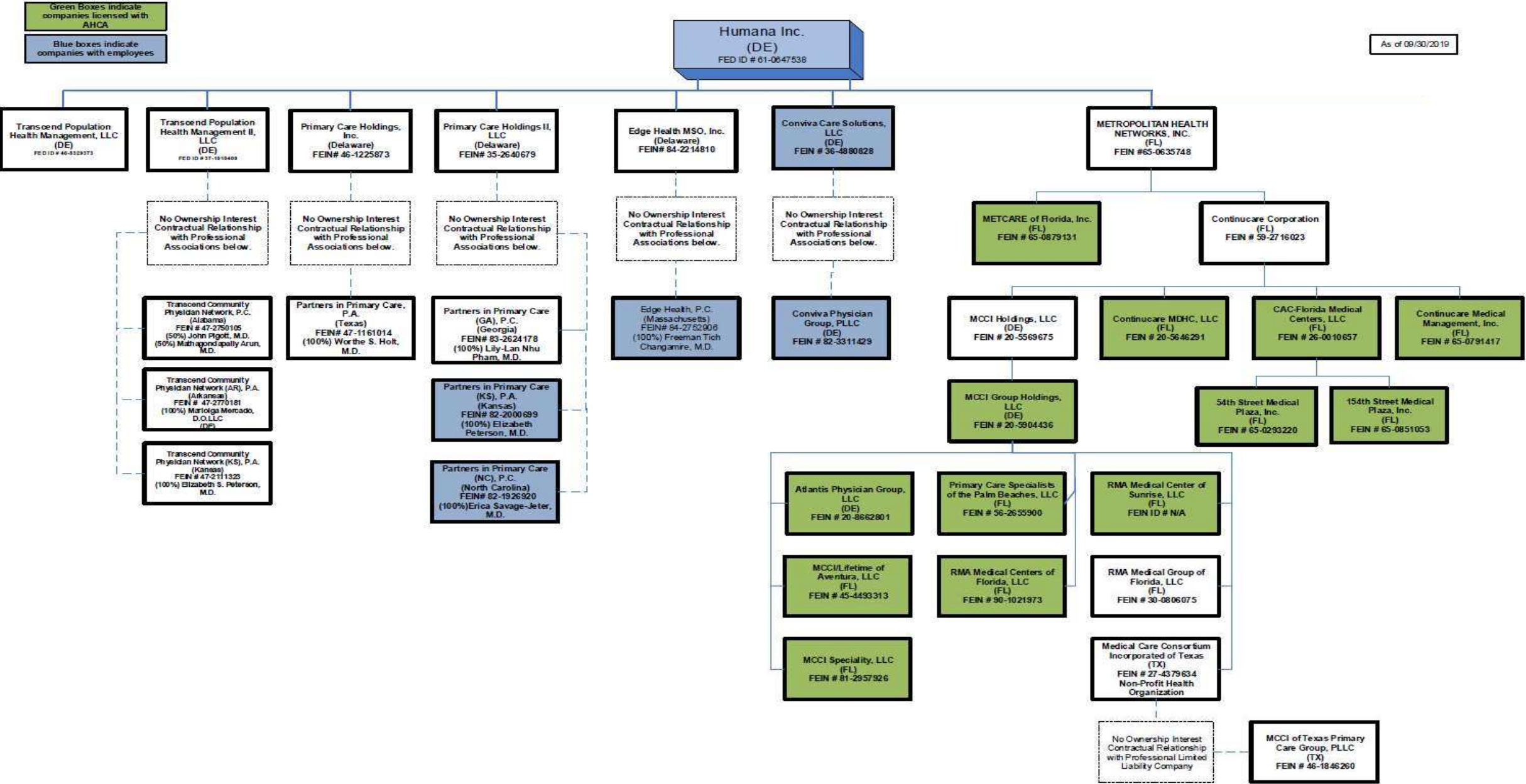
**Note: Heavily Outlined Boxes indicates 100% ownership by Humana Inc.**

- (1) Ownership is 50% by CareNetwork, Inc. and 50% by Centers For Independence, Inc., an unaffiliated entity.
- (2) Fully diluted ownership which includes Common and Preferred Units is as follows: HUM-E-FL, Inc. – 16.587%; Navigy, Inc. (an unaffiliated entity)-23.843%; Health Care Service Corporation (an unaffiliated entity)-23.843%; Sellocore, Inc. (an unaffiliated entity)-14.474%; MII Services, Inc. (an unaffiliated entity)-2.239%; and AV Investor, LLC (an unaffiliated entity)-19.013%.
- (3) The 1,000,000 common shares authorized: Humana Innovation Enterprises, Inc. was granted 4,083,333 Common Shares and 850,000 Series A Preferred Shares; additional shares granted as follows: Flare Capital Partners, 1,500,000 Series A Preferred Shares; Define Ventures, 650,000 Series A Preferred Shares; and Stock Options to be awarded to Employees - 3,916,667 shares.

NOTE: See Joint Venture organizational chart for information on the company's ownership in several joint ventures.







**SCHEDULE Y**  
**PART 1A - DETAIL OF INSURANCE HOLDING COMPANY SYSTEM**

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
Group Code	Group Name	NAIC Company Code	ID Number	Federal RSSD	CIK	Name of Securities Exchange if Publicly Traded (U.S. or International)	Names of Parent, Subsidiaries Or Affiliates	Domi-ciliary Location	Relation-ship to Reporting Entity	Directly Controlled by (Name of Entity/Person)	Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other)	If Control is Ownership Provide Per-centage	Ultimate Controlling Entity(ies)/Person(s)	Is an SCA Filing Re-quired? (Y/N)	*
.0119	Humana Inc.	.00000	65-0851053				154th Street Medical Plaza, Inc.	FL	NIA	CAC-Florida Medical Centers, LLC	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	20-5309363				515-526 W MainSt Condo Council of Co-Owners	KY	NIA	Humana Real Estate Company	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	65-0293220				54th Street Medical Plaza, Inc.	FL	NIA	CAC-Florida Medical Centers, LLC	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.12151	20-1001348				Arcadian Health Plan, Inc. LLC	WA	IA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	20-8662801				Atlantis Physician Group, LLC	DE	NIA	MCCI Group Holdings, LLC	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	30-0117876				CAC Medical Center Holdings, Inc.	FL	NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	26-0010657				CAC-Florida Medical Centers, LLC	FL	NIA	Continucare Corporation	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	26-0815856				Care Partners Home Care, LLC	FL	NIA	SeniorBridge Family Companies (FL), Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	39-1514846				CareNetwork, Inc.	WI	NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.95092	59-2598550				CarePlus Health Plans, Inc.	FL	IA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.95754	62-1579044				Cariten Health Plan Inc.	TN	IA	PHP Companies, Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	35-2608414				CDO 1, LLC	DE	NIA	HJM Provider Holdings, LLC	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	32-0545504				CDO 2, LLC	DE	NIA	HJM Provider Holdings, LLC	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.95158	61-1279717				CHA HMO, Inc.	KY	IA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.52015	59-2531815				CompBenefits Company	FL	IA	Humana Dental Company	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	04-3185995				CompBenefits Corporation	DE	NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.11228	36-3686002				CompBenefits Dental, Inc.	IL	IA	Dental Care Plus Management, Corp.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	58-2228851				CompBenefits Direct, Inc.	DE	NIA	Humana Dental Company	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.60984	74-2552026				CompBenefits Insurance Company	TX	IA	Humana Dental Company	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	45-3713941				Complex Clinical Management, Inc.	FL	NIA	SeniorBridge Family Companies (FL), Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	42-1575099				Humana Healthcare Research, Inc.	IL	NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	59-2716023				Continucare Corporation	FL	NIA	Metropolitan Health Networks, Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	20-5646291				Continucare MDHC, LLC	FL	NIA	Continucare Corporation	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	65-0791417				Continucare Medical Management, Inc.	FL	NIA	Continucare Corporation	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	36-4880828				Conviva Care Solutions, LLC	DE	NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.15886	75-2043865				Humana Benefit Plan of Texas, Inc.	TX	IA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	36-3512545				Dental Care Plus Management, Corp.	IL	NIA	Humana Dental Company	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.95161	76-0039628				DentCare, Inc.	TX	IA	Humana Dental Company	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.88595	31-0935772				EmpheSys Insurance Company	TX	IA	EmpheSys, Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	61-1237697				EmpheSys, Inc.	DE	NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	59-3164234				Family Physicians of Winter Park, Inc.	FL	NIA	FPG Acquisition Corp.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	81-3802918				FPG Acquisition Corp.	DE	NIA	FPG Acquisition Holdings Corp.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	81-3819187				FPG Acquisition Holdings Corp.	DE	NIA	FPG Holding Company, LLC	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	32-0505460				FPG Holding Company, LLC	DE	NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	45-4685400				FPG Senior Services, LLC	FL	NIA	FPG Acquisition Corp.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	27-1649291				Harris, Rothenberg International Inc.	NY	NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	61-1223418				Health Value Management, Inc.	DE	NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	46-4912173				Humana EAP and Work-Life Services of California, Inc.	CA	IA	Harris, Rothenberg International Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	26-3592783				HJM Provider Holdings, LLC	DE	NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	20-4835394				Humana Active Outlook, Inc.	KY	NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	75-2739333				Humana At Home (Dallas), Inc.	TX	NIA	ROHC, L.L.C.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	76-0537878				Humana At Home (Houston), Inc.	TX	NIA	ROHC, L.L.C.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	65-0274594				Humana At Home 1, Inc.	FL	NIA	Humana Dental Company	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	13-4036798				Humana at Home, Inc.	DE	NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.60052	37-1326199				Humana Benefit Plan of Illinois, Inc.	IL	IA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	59-1843760				Humana Dental Company	FL	NIA	CompBenefits Corporation	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.95519	58-2209549				Humana Employers Health Plan of GA, Inc.	GA	IA	Humana Insurance Company	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	61-1241225				Humana Government Business, Inc.	DE	NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.95642	72-1279235				Humana Health Benefit Plan of LA, Inc.	LA	IA	Humana Insurance Company	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.13558	26-2800286				Humana Health Company of New York, Inc.	NY	IA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.69671	61-1041514				Humana Health Ins. Co. of Florida, Inc.	FL	IA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	26-3473328				Humana Health Plan of California, Inc.	CA	IA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.95348	31-1154200				Humana Health Plan of Ohio, Inc.	OH	IA	Humana Inc.	Ownership	100.000	Humana Inc.		.0

**SCHEDULE Y**  
**PART 1A - DETAIL OF INSURANCE HOLDING COMPANY SYSTEM**

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
Group Code	Group Name	NAIC Company Code	ID Number	Federal RSSD	CIK	Name of Securities Exchange if Publicly Traded (U.S. or International)	Names of Parent, Subsidiaries Or Affiliates	Domi-ciliary Location	Relation-ship to Reporting Entity	Directly Controlled by (Name of Entity/Person)	Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other)	If Control is Ownership Provide Percentage	Ultimate Controlling Entity(ies)/Person(s)	Is an SCA Filing Re-quired? (Y/N)	*
.0119	Humana Inc.	.95024	61-0994632				Humana Health Plan of Texas, Inc.	.TX	.IA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.95885	61-1013183				Humana Health Plan, Inc.	.KY	.RE	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.95721	66-0406896				Humana Health Plans of Puerto Rico, Inc.	.PR	.IA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	61-0647538		0000049071	NYSE	Humana Inc.	.DE	.UDP	See Footnote 1	Other	0.000	See Footnote 1		.2
.0119	Humana Inc.	.00000	61-1343791				Humana Innovation Enterprises, Inc.	.DE	.NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.73288	39-1263473				Humana Insurance Company	.WI	.IA	CareNetwork, Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.60219	61-1311685				Humana Insurance Company of Kentucky	.KY	.IA	Humana Insurance Company	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.12634	20-2888723				Humana Insurance Company of New York	.NY	.IA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.84603	66-0291866				Humana Insurance of Puerto Rico, Inc.	.PR	.IA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	20-3364857				Humana MarketPOINT of Puerto Rico, Inc.	.PR	.NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	61-1343508				Humana MarketPOINT, Inc.	.KY	.NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.14224	27-3991410				Humana Medical Plan of Michigan, Inc.	.MI	.IA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.14462	27-4660531				Humana Medical Plan of Pennsylvania, Inc.	.PA	.IA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.12908	20-8411422				Humana Medical Plan of Utah, Inc.	.UT	.IA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.95270	61-1103898				Humana Medical Plan, Inc.	.FL	.IA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	45-2254346				Humana Pharmacy Solutions, Inc.	.KY	.NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	61-1316926				Humana Pharmacy, Inc.	.DE	.NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.12282	20-2036444				Humana Regional Health Plan, Inc.	.AR	.IA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	20-8418853				Humana Veterans Healthcare Services, Inc.	.DE	.NIA	Humana Government Business, Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	26-4522426				Humana WellWorks LLC	.DE	.NIA	Health Value Management, Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.95342	39-1525003				Humana Wisc. Health Org. Ins. Corp.	.WI	.IA	CareNetwork, Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.70580	39-0714280				HumanaDental Insurance Company	.WI	.IA	HumanaDental, Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	61-1364005				HumanaDental, Inc.	.DE	.NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	27-4535747				Go365, LLC	.DE	.NIA	HumanaWellworks LLC	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	61-1239538				Humco, Inc.	.KY	.DS	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	61-1383567				HUM-e-FL, Inc.	.FL	.NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	86-1050795				Hummingbird Coaching Systems LLC	.OH	.NIA	Harris, Rothenberg International Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	39-1769093				Independent Care Health Plan	.WI	.OTH	See Footnote 2	Other	50.000	Humana Inc.		.3
.0119	Humana Inc.	.00000	61-1232669				Managed Care Indemnity, Inc.	.VT	.IA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	20-5569675				MCCI Holdings, LLC	.DE	.NIA	Continuicare Corporation	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	20-5904436				MCCI Group Holdings, LLC	.DE	.NIA	MCCI Holdings, LLC	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	45-4493313				MCCI/Lifetime of Aventura, LLC	.FL	.NIA	MCCI Group Holdings, LLC	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	81-2957926				MCCI Specialty, LLC	.FL	.NIA	MCCI Group Holdings, LLC	Ownership	100.000	Humana Inc.		.0
							Medical Care Consortium Incorporated of Texas								
.0119	Humana Inc.	.00000	27-4379634					.TX	.NIA	MCCI Group Holdings, LLC	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	65-0879131				METCARE of Florida, Inc.	.FL	.NIA	Metropolitan Health Networks, Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	65-0635728				Metropolitan Health Networks, Inc.	.FL	.NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	65-0992582				Naples Health Care Specialists, LLC	.FL	.NIA	SeniorBridge Family Companies (FL), Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	65-0688221				Nursing Solutions, LLC	.FL	.NIA	SeniorBridge Family Companies (FL), Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	62-1552091				PHP Companies, Inc.	.TN	.NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	62-1250945				Preferred Health Partnership, Inc.	.TN	.NIA	PHP Companies, Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	20-1724127				Humana Real Estate Company	.KY	.NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	46-1225873				Primary Care Holdings, Inc.	.DE	.NIA	Humana Inc.	Ownership	100.000	Humana Inc.		.0
							Primary Care Specialist of the Palm Beaches, LLC								
.0119	Humana Inc.	.00000	56-2655900					.DE	.NIA	MCCI Group Holdings, LLC	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000					RMA Medical Center of Sunrise, LLC	.FL	.NIA	MCCI Group Holdings, LLC	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	90-1021973				RMA Medical Centers of Florida, LLC	.FL	.NIA	MCCI Group Holdings, LLC	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	30-0806075				RMA Medical Group of Florida, LLC	.FL	.NIA	MCCI Group Holdings, LLC	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	75-2844854				ROHC, L.L.C.	.TX	.NIA	Humana at Home, Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	65-1096853				SeniorBridge Family Companies (FL), Inc.	.FL	.NIA	Humana at Home, Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	20-0301155				SeniorBridge Family Companies (IN), Inc.	.IN	.NIA	Humana at Home, Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	36-4484443				SeniorBridge Family Companies (NY), Inc.	.NY	.NIA	Humana at Home, Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	01-0766084				Humana At Home (San Antonio), Inc.	.TX	.NIA	Humana at Home, Inc.	Ownership	100.000	Humana Inc.		.0
.0119	Humana Inc.	.00000	59-2518701				SeniorBridge-Florida, LLC	.FL	.NIA	SeniorBridge Family Companies (FL), Inc.	Ownership	100.000	Humana Inc.		.0

SCHEDULE Y  
PART 1A - DETAIL OF INSURANCE HOLDING COMPANY SYSTEM

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
Group Code	Group Name	NAIC Company Code	ID Number	Federal RSSD	CIK	Name of Securities Exchange if Publicly Traded (U.S. or International)	Names of Parent, Subsidiaries Or Affiliates	Domi-ciliary Loca-tion	Relation-ship to Reporting Entity	Directly Controlled by (Name of Entity/Person)	Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other)	If Control is Owner-ship Provide Percen-tage	Ultimate Controlling Entity(ies)/Person(s)	Is an SCA Filing Re-quired? (Y/N)	*
..0119 ...	Humana Inc. ....	..00000 ....	74-2352809 ...	.....	.....	.....	Texas Dental Plans, Inc. ....	..TX.....	..NIA.....	Humana Dental Company .....	Ownership.....	100.000 ...	Humana Inc. ....	.....	..0 .....
..0119 ...	Humana Inc. ....	..54739 ....	52-1157181 ...	.....	.....	.....	The Dental Concern, Inc. ....	..KY.....	..IA.....	HumanaDental, Inc. ....	Ownership.....	100.000 ...	Humana Inc. ....	.....	..0 .....
..0119 ...	Humana Inc. ....	..00000 ....	75-2600512 ...	.....	.....	.....	Humana At Home (TLC), Inc. ....	..TX.....	..NIA.....	ROHC, L.L.C. ....	Ownership.....	100.000 ...	Humana Inc. ....	.....	..0 .....
..0119 ...	Humana Inc. ....	..00000 ....	80-0072760 ...	.....	.....	.....	Humana Digital Health and Analytics Platform Services, Inc. ....	..DE.....	..NIA.....	Humana Inc. ....	Ownership.....	100.000 ...	Humana Inc. ....	.....	..0 .....
..0119 ...	Humana Inc. ....	..00000 ....	46-5329373 ...	.....	.....	.....	Transcend Population Health Management, LLC ..	..DE.....	..NIA.....	Humana Inc. ....	Ownership.....	100.000 ...	Humana Inc. ....	.....	..0 .....
..0119 ...	Humana Inc. ....	..00000 ....	66-0872725 ...	.....	.....	.....	Humana Management Services of Puerto Rico, Inc. ....	..PR.....	..NIA.....	Humana Inc. ....	Ownership.....	100.000 ...	Humana Inc. ....	.....	..0 .....
..0119 ...	Humana Inc. ....	..00000 ....	83-3321367 ...	.....	.....	.....	North Region Providers, LLC .....	..DE.....	..NIA.....	Humana Government Business, Inc. ....	Ownership.....	100.000 ...	Humana Inc. ....	.....	..0 .....
..0119 ...	Humana Inc. ....	..00000 ....	35-2640679 ...	.....	.....	.....	Primary Care Holdings II, LLC .....	..DE.....	..NIA.....	Humana Inc. ....	Ownership.....	100.000 ...	Humana Inc. ....	.....	..0 .....
..0119 ...	Humana Inc. ....	..00000 ....	37-1910409 ...	.....	.....	.....	Transcend Population Health Management II, LLC .....	..DE.....	..NIA.....	Humana Inc. ....	Ownership.....	100.000 ...	Humana Inc. ....	.....	..0 .....
..0119 ...	Humana Inc. ....	..00000 ....	84-2214810 ...	.....	.....	.....	Edge Health MSO, Inc. ....	..DE.....	..NIA.....	Humana Inc. ....	Ownership.....	100.000 ...	Humana Inc. ....	.....	..0 .....
..0119 ...	Humana Inc. ....	..00000 ....	47-2905609 ...	.....	.....	.....	Partners in Integrated Care, Inc. ....	..FL.....	..NIA.....	Humana Inc. ....	Ownership.....	100.000 ...	Humana Inc. ....	.....	..0 .....
..0119 ...	Humana Inc. ....	..00000 ....	84-3226630 ...	.....	.....	.....	Humana Benefit Plan of South Carolina, Inc. ..	..SC.....	..NIA.....	Humana Inc. ....	Ownership.....	100.000 ...	Humana Inc. ....	.....	..0 .....

Asterisk	Explanation
0000001 .....	Humana Inc., a Delaware corporation and ultimate parent company in the holding company system, is a publicly traded company on the New York Stock Exchange and ownership fluctuates daily. ....
0000002 .....	Independent Care Health Plan, a Wisconsin corporation licensed as an HMO, operates an integrated, coordinated medical and social service managed care program for chronically disabled Medicaid recipients in Milwaukee, Wisconsin. CareNetwork, Inc. owns 50% of the company's stock. Centers For Independence, Inc. owns the other 50%. ....

SUPPLEMENTAL EXHIBITS AND SCHEDULES INTERROGATORIES

The following supplemental reports are required to be filed as part of your statement filing. However, in the event that your company does not transact the type of business for which the special report must be filed, your response of NO to the specific interrogatory will be accepted in lieu of filing a "NONE" report and a bar code will be printed below. If the supplement is required of your company but is not being filed for whatever reason enter SEE EXPLANATION and provide an explanation following the interrogatory questions.

Response

1. Will the Medicare Part D Coverage Supplement be filed with the state of domicile and the NAIC with this statement? .....

NO

Explanation:

1. This type of business is not written.

Bar Code:

1. Medicare Part D Coverage Supplement [Document Identifier 365]



OVERFLOW PAGE FOR WRITE-INS

Additional Write-ins for Assets Line 25

		Current Statement Date			4 Prior Year Net Admitted Assets
		1 Assets	2 Nonadmitted Assets	3 Net Admitted Assets (Cols. 1 - 2)	
2504.	Federal Contingency Reserves .....	21,317	0	21,317	401,567
2597.	Summary of remaining write-ins for Line 25 from overflow page	21,317	0	21,317	401,567

Additional Write-ins for Liabilities Line 23

		Current Period			Prior Year
		1 Covered	2 Uncovered	3 Total	4 Total
2304.	Premium Payable .....	0	0	0	102,385
2397.	Summary of remaining write-ins for Line 23 from overflow page	0	0	0	102,385

SCHEDULE A - VERIFICATION

Real Estate

	1	2
	Year to Date	Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year .....		
2. Cost of acquired:		
2.1 Actual cost at time of acquisition .....		
2.2 Additional investment made after acquisition .....		
3. Current year change in encumbrances .....		
4. Total gain (loss) on disposals .....		
5. Deduct amounts received on disposals .....		
6. Total foreign exchange change in book/adjusted carrying value .....		
7. Deduct current year's other than temporary impairment recognized .....		
8. Deduct current year's depreciation .....		
9. Book/adjusted carrying value at the end of current period (Lines 1+2+3+4-5+6-7-8) .....		
10. Deduct total nonadmitted amounts .....		
11. Statement value at end of current period (Line 9 minus Line 10) .....		

SCHEDULE B - VERIFICATION

Mortgage Loans

	1	2
	Year to Date	Prior Year Ended December 31
1. Book value/recorded investment excluding accrued interest, December 31 of prior year .....	27,600,000	27,600,000
2. Cost of acquired:		
2.1 Actual cost at time of acquisition .....	0	0
2.2 Additional investment made after acquisition .....	0	0
3. Capitalized deferred interest and other .....	0	0
4. Accrual of discount .....	0	0
5. Unrealized valuation increase (decrease) .....	0	0
6. Total gain (loss) on disposals .....	0	0
7. Deduct amounts received on disposals .....	0	0
8. Deduct amortization of premium and mortgage interest points and commitment fees .....	0	0
9. Total foreign exchange change in book value/recorded investment excluding accrued interest .....	0	0
10. Deduct current year's other than temporary impairment recognized .....	0	0
11. Book value/recorded investment excluding accrued interest at end of current period (Lines 1+2+3+4+5+6-7-8+9-10) .....	27,600,000	27,600,000
12. Total valuation allowance .....	0	0
13. Subtotal (Line 11 plus Line 12) .....	27,600,000	27,600,000
14. Deduct total nonadmitted amounts .....	0	0
15. Statement value at end of current period (Line 13 minus Line 14) .....	27,600,000	27,600,000

SCHEDULE BA - VERIFICATION

Other Long-Term Invested Assets

	1	2
	Year to Date	Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year .....		
2. Cost of acquired:		
2.1 Actual cost at time of acquisition .....		
2.2 Additional investment made after acquisition .....		
3. Capitalized deferred interest and other .....		
4. Accrual of discount .....		
5. Unrealized valuation increase (decrease) .....		
6. Total gain (loss) on disposals .....		
7. Deduct amounts received on disposals .....		
8. Deduct amortization of premium and depreciation .....		
9. Total foreign exchange change in book/adjusted carrying value .....		
10. Deduct current year's other than temporary impairment recognized .....		
11. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5+6-7-8+9-10) .....		
12. Deduct total nonadmitted amounts .....		
13. Statement value at end of current period (Line 11 minus Line 12) .....		

SCHEDULE D - VERIFICATION

Bonds and Stocks

	1	2
	Year to Date	Prior Year Ended December 31
1. Book/adjusted carrying value of bonds and stocks, December 31 of prior year .....	1,059,087,290	1,317,830,468
2. Cost of bonds and stocks acquired .....	162,549,980	206,514,713
3. Accrual of discount .....	117,154	182,951
4. Unrealized valuation increase (decrease) .....	23,690,924	(3,973,982)
5. Total gain (loss) on disposals .....	397,956	(654,177)
6. Deduct consideration for bonds and stocks disposed of .....	673,708,873	449,504,278
7. Deduct amortization of premium .....	4,469,330	11,308,405
8. Total foreign exchange change in book/adjusted carrying value .....	0	0
9. Deduct current year's other than temporary impairment recognized .....	0	0
10. Total investment income recognized as a result of prepayment penalties and/or acceleration fees .....	500	0
11. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9+10) .....	567,665,601	1,059,087,290
12. Deduct total nonadmitted amounts .....	0	0
13. Statement value at end of current period (Line 11 minus Line 12) .....	567,665,601	1,059,087,290

SCHEDULE D - PART 1B

Showing the Acquisitions, Dispositions and Non-Trading Activity  
During the Current Quarter for all Bonds and Preferred Stock by NAIC Designation

NAIC Designation	1 Book/Adjusted Carrying Value Beginning of Current Quarter	2 Acquisitions During Current Quarter	3 Dispositions During Current Quarter	4 Non-Trading Activity During Current Quarter	5 Book/Adjusted Carrying Value End of First Quarter	6 Book/Adjusted Carrying Value End of Second Quarter	7 Book/Adjusted Carrying Value End of Third Quarter	8 Book/Adjusted Carrying Value December 31 Prior Year
BONDS								
1. NAIC 1 (a) .....	671,091,628	2,190,931,827	2,383,051,584	(341,885)	768,395,509	671,091,628	478,629,987	942,730,555
2. NAIC 2 (a) .....	88,964,008	1,188,924,894	1,180,792,952	445,720	69,177,782	88,964,008	97,541,671	85,584,113
3. NAIC 3 (a) .....	20,184,119	0	718,925	(326,854)	21,048,297	20,184,119	19,138,340	20,190,195
4. NAIC 4 (a) .....	2,305,600	0	0	39,851	2,206,572	2,305,600	2,345,451	2,092,200
5. NAIC 5 (a) .....	0	0	0	0	0	0	0	0
6. NAIC 6 (a) .....	0	0	0	0	0	0	0	0
7. Total Bonds	782,545,355	3,379,856,722	3,564,563,461	(183,168)	860,828,160	782,545,355	597,655,448	1,050,597,063
PREFERRED STOCK								
8. NAIC 1 .....	0	0	0	0	0	0	0	0
9. NAIC 2 .....	0	0	0	0	0	0	0	0
10. NAIC 3 .....	0	0	0	0	0	0	0	0
11. NAIC 4 .....	0	0	0	0	0	0	0	0
12. NAIC 5 .....	0	0	0	0	0	0	0	0
13. NAIC 6 .....	0	0	0	0	0	0	0	0
14. Total Preferred Stock .....	0	0	0	0	0	0	0	0
15. Total Bonds and Preferred Stock	782,545,355	3,379,856,722	3,564,563,461	(183,168)	860,828,160	782,545,355	597,655,448	1,050,597,063

(a) Book/Adjusted Carrying Value column for the end of the current reporting period includes the following amount of short-term and cash equivalent bonds by NAIC designation:

NAIC 1 \$ .....0 ; NAIC 2 \$ .....29,989,847 ; NAIC 3 \$ .....0 NAIC 4 \$ .....0 ; NAIC 5 \$ .....0 ; NAIC 6 \$ .....0



SCHEDULE DA - PART 1

Short-Term Investments

	1	2	3	4	5
	Book/Adjusted Carrying Value	Par Value	Cost	Interest Collected Year-to-Date	Paid for Accrued Interest Year-to-Date
9199999 Totals					

NONE

SCHEDULE DA - VERIFICATION

Short-Term Investments

	1	2
	Year To Date	Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year .....	3,097,043	15,857,212
2. Cost of short-term investments acquired .....	0	3,082,926
3. Accrual of discount .....	2,957	14,425
4. Unrealized valuation increase (decrease) .....	0	0
5. Total gain (loss) on disposals .....	0	0
6. Deduct consideration received on disposals .....	3,100,000	15,585,000
7. Deduct amortization of premium .....	0	272,520
8. Total foreign exchange change in book/adjusted carrying value .....	0	0
9. Deduct current year's other than temporary impairment recognized .....	0	0
10. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9) .....	0	3,097,043
11. Deduct total nonadmitted amounts .....	0	0
12. Statement value at end of current period (Line 10 minus Line 11)	0	3,097,043

Schedule DB - Part A - Verification - Options, Caps, Floors, Collars, Swaps and Forwards

**N O N E**

Schedule DB - Part B - Verification - Futures Contracts

**N O N E**

Schedule DB - Part C - Section 1 - Replication (Synthetic Asset) Transactions (RSATs) Open

**N O N E**

Schedule DB-Part C-Section 2-Reconciliation of Replication (Synthetic Asset) Transactions Open

**N O N E**

Schedule DB - Verification - Book/Adjusted Carrying Value, Fair Value and Potential Exposure of  
Derivatives

**N O N E**

SCHEDULE E - PART 2 - VERIFICATION

(Cash Equivalents)

	1	2
	Year To Date	Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year .....	62,474,634	271,058,005
2. Cost of cash equivalents acquired .....	8,303,974,432	14,855,627,517
3. Accrual of discount .....	1,534,656	2,707,343
4. Unrealized valuation increase (decrease) .....	0	0
5. Total gain (loss) on disposals .....	0	0
6. Deduct consideration received on disposals .....	8,301,786,145	15,066,918,231
7. Deduct amortization of premium .....	0	0
8. Total foreign exchange change in book/adjusted carrying value .....	0	0
9. Deduct current year's other than temporary impairment recognized .....	0	0
10. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9) .....	66,197,578	62,474,634
11. Deduct total nonadmitted amounts .....	0	0
12. Statement value at end of current period (Line 10 minus Line 11)	66,197,578	62,474,634

Schedule A - Part 2 - Real Estate Acquired and Additions Made

**N O N E**

Schedule A - Part 3 - Real Estate Disposed

**N O N E**

Schedule B - Part 2 - Mortgage Loans Acquired and Additions Made

**N O N E**

Schedule B - Part 3 - Mortgage Loans Disposed, Transferred or Repaid

**N O N E**

Schedule BA - Part 2 - Other Long-Term Invested Assets Acquired and Additions Made

**N O N E**

Schedule BA - Part 3 - Other Long-Term Invested Assets Disposed, Transferred or Repaid

**N O N E**

## STATEMENT AS OF SEPTEMBER 30, 2019 OF THE Humana Health Plan Inc.

## SCHEDULE D - PART 3

Show All Long-Term Bonds and Stock Acquired During the Current Quarter

[illegible]

(a) For all common stock bearing the NAIC market indicator "U" provide: the number of such issues .....0

STATEMENT AS OF SEPTEMBER 30, 2019 OF THE Humana Health Plan Inc.

SCHEDULE D - PART 4

Show All Long-Term Bonds and Stock Sold, Redeemed or Otherwise Disposed of During the Current Quarter

1	2	3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Ident-ification	Description	For-foreign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consid-eration	Par Value	Actual Cost	Prior Year Book/ Adjusted Carrying Value	Unrealized Valuation Increase/(Decrease)	Current Year's (Amor-tization)/ Accretion	Current Year's Other Than Temporary Impairment Recog-nized	Total Change in Book/ Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book /Adjusted Carrying Value	Book/ Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/ Stock Dividends Received During Year	Stated Con-tractual Maturity Date	NAIC Desig-nation and Admini-strative Symbol /Market Indicator (a)
912828-LJ-7	UNITED STATES TREASURY .....		08/15/2019	Maturity @ 100.00 .....		310,000	310,000	316,430	312,723	0	(2,723)	0	(2,723)	0	310,000	0	0	0	11,238	08/15/2019	1
912828-WS-5	UNITED STATES TREASURY .....		06/30/2019	Maturity @ 100.00 .....		0	0	0	0	0	0	0	0	0	0	0	0	0	15,356	06/30/2019	1
0599999. Subtotal - Bonds - U.S. Governments						310,000	310,000	316,430	312,723	0	(2,723)	0	(2,723)	0	310,000	0	0	0	26,594	XXX	XXX
041042-VA-7	ARKANSAS ST .....		08/22/2019	RAYMOND JAMES & ASSOCIATES		5,116,350	5,000,000	5,625,800	5,190,316	0	(84,863)	0	(84,863)	0	5,105,453	0	10,897	10,897	139,444	06/15/2020	1FE
130630-R3-6	CALIFORNIA ST .....		08/22/2019	PERSHING LLC		2,299,586	1,925,000	2,451,680	2,300,041	0	(41,512)	0	(41,512)	0	2,258,529	0	41,057	41,057	94,913	09/01/2024	1FE
419792-HM-1	HAWAII ST .....		08/22/2019	NATIONAL FINL SVCS CORP,		2,220,821	2,170,000	2,489,164	2,272,229	0	(53,104)	0	(53,104)	0	2,219,125	0	1,696	1,696	97,951	04/01/2020	1FE
419792-HN-9	HAWAII ST .....		08/22/2019	PERSHING LLC		2,819,929	2,655,000	3,118,722	2,868,973	0	(61,290)	0	(61,290)	0	2,807,682	0	12,246	12,246	119,844	04/01/2021	1FE
419792-JW-7	HAWAII ST .....		08/22/2019	Bank of America Securities		708,832	680,000	793,914	725,335	0	(16,774)	0	(16,774)	0	708,561	0	271	271	30,694	10/01/2020	1FE
419792-JY-3	HAWAII ST .....		08/22/2019	JP MORGAN SECS INC., - FIXED INCOME		909,603	785,000	973,934	907,752	0	(16,296)	0	(16,296)	0	891,456	0	18,147	18,147	35,434	10/01/2023	1FE
419792-MG-8	HAWAII ST .....		08/22/2019	CABRERA CAPITAL MARKETS		895,506	730,000	933,042	885,574	0	(14,268)	0	(14,268)	0	871,306	0	24,199	24,199	32,951	10/01/2025	1FE
419792-MH-6	HAWAII ST .....		08/22/2019	JP MORGAN SECS INC., - FIXED INCOME		918,851	730,000	946,890	901,814	0	(13,564)	0	(13,564)	0	888,250	0	30,601	30,601	32,951	10/01/2026	1FE
419792-MK-9	HAWAII ST .....		08/22/2019	FIDELITY		910,690	730,000	930,779	889,394	0	(12,485)	0	(12,485)	0	876,909	0	33,781	33,781	32,951	10/01/2028	1FE
56052A-ZD-1	MAINE ST .....		08/22/2019	RAYMOND JAMES & ASSOCIATES		875,203	850,000	948,141	897,572	0	(21,805)	0	(21,805)	0	875,768	0	(565)	(565)	31,285	06/01/2020	1FE
56052A-ZE-9	MAINE ST .....		08/22/2019	Bank of America Securities		908,710	850,000	976,897	928,397	0	(20,936)	0	(20,936)	0	907,461	0	1,249	1,249	31,285	06/01/2021	1FE
56052A-ZF-6	MAINE ST .....		08/22/2019	Bank of America Securities		941,282	850,000	1,002,805	956,570	0	(19,984)	0	(19,984)	0	936,586	0	4,696	4,696	31,285	06/01/2022	1FE
574193-HP-0	MARYLAND ST .....		08/22/2019	WELLS FARGO, N.A./SIG		6,915,460	6,470,000	7,704,347	7,081,398	0	(163,406)	0	(163,406)	0	6,917,993	0	(2,533)	(2,533)	238,132	06/01/2021	1FE
647293-RR-2	NEW MEXICO ST .....		08/22/2019	BARCLAYS CAPITAL INC		1,985,253	1,750,000	2,087,750	2,004,865	0	(38,794)	0	(38,794)	0	1,966,072	0	19,181	19,181	86,285	03/01/2023	1FE
658256-R2-0	NORTH CAROLINA ST .....		08/22/2019	NATIONAL FINL SVCS CORP,		1,065,806	1,045,000	1,187,277	1,090,533	0	(22,190)	0	(22,190)	0	1,068,343	0	(2,537)	(2,537)	34,253	05/01/2020	1FE
658256-S7-8	NORTH CAROLINA ST .....		08/22/2019	Bank of America Securities		5,258,200	5,000,000	5,860,450	5,299,192	0	(79,654)	0	(79,654)	0	5,219,538	0	38,662	38,662	147,222	06/01/2021	1FE
658256-Z2-1	NORTH CAROLINA ST .....		08/22/2019	Bank of America Securities		3,517,913	3,070,000	3,807,199	3,531,666	0	(66,263)	0	(66,263)	0	3,465,402	0	52,511	52,511	112,993	06/01/2023	1FE
658256-Z4-7	NORTH CAROLINA ST .....		08/22/2019	Bank of America Securities		1,537,868	1,260,000	1,624,871	1,519,342	0	(25,140)	0	(25,140)	0	1,494,202	0	43,666	43,666	46,375	06/01/2025	1FE
677522-HS-6	OHIO ST .....		08/22/2019	WELLS FARGO, N.A./SIG		6,312,208	5,600,000	6,905,192	6,377,573	0	(125,373)	0	(125,373)	0	6,252,200	0	60,008	60,008	195,222	12/15/2022	1FE
677522-HT-4	OHIO ST .....		08/22/2019	CITIGROUP GLOBAL MARKETS INC.		6,518,848	5,600,000	6,989,864	6,506,305	0	(115,310)	0	(115,310)	0	6,390,994	0	127,854	127,854	195,222	12/15/2023	1FE
70914P-D9-0	PENNSYLVANIA (COMMONWEALTH OF) .....		08/22/2019	CITIGROUP GLOBAL MARKETS INC.		1,762,519	1,450,000	1,814,704	1,725,707	0	(25,193)	0	(25,193)	0	1,700,514	0	62,005	62,005	68,674	09/15/2025	1FE
70914P-E2-4	PENNSYLVANIA (COMMONWEALTH OF) .....		08/22/2019	CITIGROUP GLOBAL MARKETS INC.		1,804,786	1,450,000	1,835,947	1,752,265	0	(23,707)	0	(23,707)	0	1,728,559	0	76,227	76,227	68,674	09/15/2026	1FE
928109-U7-0	VIRGINIA ST .....		08/22/2019	DAVIDSON (D.A.) & CO. INC.		1,254,870	1,000,000	1,288,960	1,228,237	0	(18,920)	0	(18,920)	0	1,209,316	0	45,554	45,554	36,806	06/01/2026	1FE
93974D-WZ-7	WASHINGTON ST .....		08/22/2019	DAVIDSON (D.A.) & CO. INC.		624,390	500,000	651,260	616,522	0	(9,424)	0	(9,424)	0	607,098	0	17,292	17,292	26,736	08/01/2027	1FE
1799999. Subtotal - Bonds - U.S. States, Territories and Possessions						58,083,480	52,150,000	62,749,587	58,457,571	0	(1,090,254)	0	(1,090,254)	0	57,367,317	0	716,162	716,162	1,967,583	XXX	XXX
021087-UZ-2	ALPINE UTAH SCH DIST .....		08/22/2019	PERSHING LLC		2,199,700	2,000,000	2,440,060	2,244,305	0	(48,915)	0	(48,915)	0	2,195,391	0	4,309	4,309	94,722	03/15/2022	1FE
235219-HA-3	DALLAS TEX .....		08/22/2019	NATIONAL FINL SVCS CORP,		10,141	10,000	12,369	10,422	0	(245)	0	(245)	0	10,178	0	(37)	(37)	515	02/15/2020	1FE
235219-HP-0	DALLAS TEX .....		08/22/2019	WELLS FARGO, N.A./SIG		3,043,700	2,990,000	3,698,226	3,116,203	0	(73,121)	0	(73,121)	0	3,043,082	0	618	618	154,068	02/15/2020	1FE
239019-P4-8	DAVIS ONTY UTAH SCH DIST .....		08/22/2019	RAYMOND JAMES & ASSOCIATES		669,208	650,000	758,706	683,070	0	(15,139)	0	(15,139)	0	667,932	0	1,276	1,276	23,924	06/01/2020	1FE
303820-BE-7	FAIRFAX CNTY VA .....		08/22/2019	Bank of America Securities		3,246,630	3,000,000	3,844,590	3,286,082	0	(66,744)	0	(66,744)	0	3,219,338	0	27,292	27,292	135,417	10/01/2021	1FE

STATEMENT AS OF SEPTEMBER 30, 2019 OF THE Humana Health Plan Inc.

SCHEDULE D - PART 4

Show All Long-Term Bonds and Stock Sold, Redeemed or Otherwise Disposed of During the Current Quarter

1	2	3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Identification	Description	For- eign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consid- eration	Par Value	Actual Cost	Prior Year Book/ Adjusted Carrying Value	Unrealized Valuation Increase/ (Decrease)	Current Year's (Amor- tization)/ Accretion	Current Year's Other Than Temporary Impairment Recog- nized	Total Change in Book/ Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book /Adjusted Carrying Value	Book/ Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/ Stock Dividends Received During Year	Stated Con- tractual Maturity Date	NAIC Desig- nation and Admini- strative Symbol /Market Indicator (a)
440673-J6-9	HORRY CNTY S C SCH DIST		08/22/2019	RAYMOND JAMES & ASSOCIATES		647,592	635,000	729,736	664,676	0	(16,500)	0	(16,500)	0	648,177	0	(585)	(585)	31,309	03/01/2020	1FE
440673-J7-7	HORRY CNTY S C SCH DIST		08/22/2019	INC.		672,287	635,000	750,075	688,002	0	(15,773)	0	(15,773)	0	672,229	0	58	58	31,309	03/01/2021	1FE
512462-XA-5	LAKEVILLE MINN INDPT SCH DIST NO 194		08/22/2019	MORGAN STANLEY CO		1,016,172	900,000	1,108,944	1,028,932	0	(20,079)	0	(20,079)	0	1,008,853	0	7,319	7,319	48,125	02/01/2023	1FE
512462-XB-3	LAKEVILLE MINN INDPT SCH DIST NO 194		08/22/2019	MORGAN STANLEY CO		1,202,268	1,030,000	1,290,734	1,204,717	0	(21,636)	0	(21,636)	0	1,183,081	0	19,186	19,186	55,076	02/01/2024	1FE
882723-SL-4	TEXAS ST		08/22/2019	MORGAN STANLEY CO		1,783,749	1,650,000	1,990,890	1,817,660	0	(39,209)	0	(39,209)	0	1,778,451	0	5,298	5,298	74,479	10/01/2021	1FE
24999999. Subtotal - Bonds - U.S. Political Subdivisions of States, Territories and Possessions						14,491,446	13,500,000	16,624,330	14,744,072	0	(317,360)	0	(317,360)	0	14,426,711	0	64,735	64,735	648,944	XXX	XXX
13066Y-SW-0	CALIFORNIA ST DEPT WTR RES PWR SUPPLY RE		08/22/2019	PERSHING LLC		1,559,689	1,460,000	1,724,464	1,595,753	0	(37,588)	0	(37,588)	0	1,558,165	0	1,524	1,524	59,819	05/01/2021	1FE
3128M8-RT-3	FH 606498 - RMBS		09/01/2019	Paydown		24,869	24,869	26,711	26,466	0	(1,596)	0	(1,596)	0	24,869	0	0	0	648	04/01/2041	1
3128MB-N7-8	FH G12914 - RMBS		09/01/2019	Paydown		3,414	3,414	3,622	3,470	0	(56)	0	(56)	0	3,414	0	0	0	114	12/01/2021	1
3128MJ-Y2-0	FH G08728 - RMBS		09/01/2019	Paydown		157,751	157,751	168,771	168,130	0	(10,379)	0	(10,379)	0	157,751	0	0	0	4,281	10/01/2046	1
3128MJ-Y8-7	FH G08734 - RMBS		09/01/2019	Paydown		189,631	189,631	202,965	202,191	0	(12,560)	0	(12,560)	0	189,631	0	0	0	5,121	11/01/2046	1
312942-F9-1	FH A93792 - RMBS		09/01/2019	Paydown		30,557	30,557	32,190	32,062	0	(1,505)	0	(1,505)	0	30,557	0	0	0	769	09/01/2040	1
312971-BM-5	FH B18144 - RMBS		09/01/2019	Paydown		12,247	12,247	12,993	12,350	0	(104)	0	(104)	0	12,247	0	0	0	390	04/01/2020	1
312971-CQ-5	FH B18179 - RMBS		09/01/2019	Paydown		3,571	3,571	3,789	3,601	0	(30)	0	(30)	0	3,571	0	0	0	120	04/01/2020	1
312971-MS-0	FH B18469 - RMBS		09/01/2019	Paydown		9,183	9,183	9,743	9,265	0	(82)	0	(82)	0	9,183	0	0	0	309	05/01/2020	1
312972-DX-7	FH B19118 - RMBS		09/01/2019	Paydown		9,002	9,002	9,550	9,078	0	(76)	0	(76)	0	9,002	0	0	0	302	04/01/2020	1
312972-EK-4	FH B19138 - RMBS		09/01/2019	Paydown		4,310	4,310	4,573	4,347	0	(36)	0	(36)	0	4,310	0	0	0	148	04/01/2020	1
312972-GT-3	FH B19210 - RMBS		09/01/2019	Paydown		12,243	12,243	12,989	12,347	0	(104)	0	(104)	0	12,243	0	0	0	409	04/01/2020	1
312972-GZ-9	FH B19216 - RMBS		09/01/2019	Paydown		9,976	9,976	10,583	10,060	0	(84)	0	(84)	0	9,976	0	0	0	335	04/01/2020	1
3132K-ZO-2	FH 004651 - RMBS		09/01/2019	Paydown		21,499	21,499	23,091	22,885	0	(1,386)	0	(1,386)	0	21,499	0	0	0	577	11/01/2041	1
3132HR-NC-0	FH 014887 - RMBS		09/01/2019	Paydown		606,109	606,109	630,259	626,031	0	(19,922)	0	(19,922)	0	606,109	0	0	0	11,688	01/01/2043	1
3132JN-LY-1	FH 021243 - RMBS		09/01/2019	Paydown		27,288	27,288	28,704	28,607	0	(1,319)	0	(1,319)	0	27,288	0	0	0	641	08/01/2043	1
3132KF-CU-4	FH V60983 - RMBS		08/26/2019	VARIOUS		1,031,874	1,007,825	1,077,527	1,042,841	0	(2,153)	0	(2,153)	0	1,040,688	0	(8,813)	(8,813)	22,146	11/01/2030	1
3132WF-UP-2	FH 042389 - RMBS		09/01/2019	Paydown		4,279	4,279	4,465	4,453	0	(173)	0	(173)	0	4,279	0	0	0	89	08/01/2046	1
3132WG-GL-5	FH 042902 - RMBS		08/22/2019	VARIOUS		985,810	942,641	1,008,921	1,005,049	0	(5,088)	0	(5,088)	0	999,961	0	(14,151)	(14,151)	27,747	09/01/2046	1
3132WG-TS-6	FH 043260 - RMBS		09/01/2019	Paydown		85,054	85,054	91,035	90,686	0	(5,631)	0	(5,631)	0	85,054	0	0	0	2,223	09/01/2046	1
3132WH-EE-1	FH 043732 - RMBS		09/01/2019	Paydown		89,807	89,807	89,786	89,787	0	20	0	20	0	89,807	0	0	0	1,721	10/01/2046	1
3132WH-GW-9	FH 043812 - RMBS		09/01/2019	Paydown		1,553	1,553	1,662	1,655	0	(103)	0	(103)	0	1,553	0	0	0	41	09/01/2046	1
3132XS-LN-8	FH 050332 - RMBS		09/01/2019	Paydown		8,713	8,713	8,981	8,973	0	(260)	0	(260)	0	8,713	0	0	0	210	08/01/2047	1
3132XT-RX-8	FH 051401 - RMBS		09/01/2019	Paydown		118,537	118,537	122,302	122,183	0	(3,646)	0	(3,646)	0	118,537	0	0	0	2,960	10/01/2047	1
31335A-ZF-8	FH G60742 - RMBS		09/01/2019	Paydown		93,270	93,270	93,249	93,250	0	21	0	21	0	93,270	0	0	0	2,035	10/01/2046	1
31335B-KG-0	FH G61195 - RMBS		09/01/2019	Paydown		641,828	641,828	663,966	663,165	0	(21,337)	0	(21,337)	0	641,828	0	0	0	15,446	08/01/2044	1
31336W-CP-2	FH G11879 - RMBS		09/01/2019	Paydown		5,276	5,276	5,598	5,335	0	(59)	0	(59)	0	5,276	0	0	0	176	10/01/2020	1
3136AW-FW-2	FNR 1733A LB - CMO/RMBS		09/01/2019	Paydown		309,253	309,253	314,037	313,862	0	(4,609)	0	(4,609)	0	309,253	0	0	0	6,239	05/25/2039	1
3137BP-DW-6	FHR 4583B UP - CMO/RMBS		08/22/2019	VARIOUS		4,915,746	4,781,032	4,984,930	4,987,952	0	(16,682)	0	(16,682)	0	4,971,270	0	(55,524)	(55,524)	105,338	07/15/2045	1
3137BS-ZE-6	FHR 4631A GP - CMO/RMBS		08/22/2019	VARIOUS		5,822,267	5,572,628	5,967,936	5,929,148	0	(25,937)	0	(25,937)	0	5,903,211	0	(80,944)	(80,944)	143,155	03/15/2046	1
3138A9-CW-2	FN A7284 - RMBS		09/01/2019	Paydown		69,994	69,994	73,953	73,681	0	(3,687)	0	(3,687)	0	69,994	0	0	0	1,865	03/01/2041	1
3138AS-YN-6	FN AJ1616 - RMBS		08/26/2019	VARIOUS		1,349,811	1,289,620	1,358,735	1,350,435	0	(1,355)	0	(1,355)	0	1,349,081	0	730	730	33,073	10/01/2041	1
3138AU-RL-3	FN AJ3190 - RMBS		08/26/2019	VARIOUS		347,432	336,202	354,378	349,567	0	(1,552)	0	(1,552)	0	348,015	0	(583)	(583)	8,630	10/01/2026	1
3138AW-H2-2	FN AJ4748 - RMBS		09/01/2019	Paydown		68,315	68,315	72,051	71,775	0	(3,460)	0	(3,460)	0	68,315	0	0	0	1,747	12/01/2041	1
3138AX-HC-8	FN AJ5626 - RMBS		09/01/2019	Paydown		62,549	62,549	65,950	65,698	0	(3,149)	0	(3,149)	0	62,549	0	0	0	1,484	11/01/2041	1
3138E4-F6-3	FN AK0188 - RMBS		09/01/2019	Paydown		18,096	18,096	19,086	19,013	0	(917)	0	(917)	0	18,096	0	0	0	416	02/01/2042	1
3138E5-FZ-6	FN AK1083 - RMBS		09/01/2019	Paydown		117,729	11														

STATEMENT AS OF SEPTEMBER 30, 2019 OF THE Humana Health Plan Inc.

SCHEDULE D - PART 4

Show All Long-Term Bonds and Stock Sold, Redeemed or Otherwise Disposed of During the Current Quarter

1	2	3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Ident-ification	Description	For-eign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consid-eration	Par Value	Actual Cost	Prior Year Book/ Adjusted Carrying Value	Unrealized Valuation Increase/ (Decrease)	Current Year's (Amor-tization)/ Accretion	Current Year's Other Than Temporary Impairment Recog-nized	Total Change in Book/ Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book /Adjusted Carrying Value	Book/ Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/ Stock Dividends Received During Year	Stated Con-tractual Maturity Date	NAIC Desig-nation and Admini-strative Symbol /Market Indicator (a)
3138ER-CZ-1	FN AL9087 - RMBS		09/01/2019	Paydown		182,544	182,544	192,869	192,257	.0	(9,714)	.0	(9,714)	.0	182,544	.0	.0	.0	4,904	04/01/2044	1
3138ER-K8-2	FN AL9318 - RMBS		09/01/2019	Paydown		381,679	381,679	410,364	408,447	.0	(26,768)	.0	(26,768)	.0	381,679	.0	.0	.0	9,827	10/01/2043	1
3138ER-LX-6	FN AL9341 - RMBS		08/26/2019	VARIOUS		233,346	230,130	231,488	231,314	.0	(113)	.0	(113)	.0	231,201	.0	2,145	2,145	4,224	11/01/2031	1
3138ER-VZ-0	FN AL9631 - RMBS		09/01/2019	Paydown		4,340	4,340	4,350	4,350	.0	(10)	.0	(10)	.0	4,340	.0	.0	.0	.90	12/01/2046	1
3138ET-TP-1	FN AL8657 - RMBS		09/01/2019	Paydown		266,090	266,090	291,951	290,248	.0	(24,158)	.0	(24,158)	.0	266,090	.0	.0	.0	7,022	06/01/2046	1
3138ET-WQ-5	FN AL8754 - RMBS		08/26/2019	VARIOUS		1,905,618	1,850,432	1,910,571	1,902,705	.0	(3,679)	.0	(3,679)	.0	1,899,027	.0	6,592	6,592	40,650	06/01/2031	1
3138LS-SB-7	FN A02313 - RMBS		09/01/2019	Paydown		555	555	549	550	.0	.5	.0	.5	.0	555	.0	.0	.0	.11	12/01/2042	1
3138LV-2K-8	FN A05277 - RMBS		09/01/2019	Paydown		45,323	45,323	48,042	47,532	.0	(2,209)	.0	(2,209)	.0	45,323	.0	.0	.0	1,060	07/01/2042	1
3138LV-CV-3	FN A04583 - RMBS		09/01/2019	Paydown		85,539	85,539	91,200	90,765	.0	(5,226)	.0	(5,226)	.0	85,539	.0	.0	.0	2,049	06/01/2042	1
3138M0-SE-1	FN A08616 - RMBS		09/01/2019	Paydown		66,057	66,057	70,428	70,093	.0	(4,037)	.0	(4,037)	.0	66,057	.0	.0	.0	1,591	07/01/2042	1
3138M7-GZ-2	FN AP3815 - RMBS		09/01/2019	Paydown		2,603	2,603	2,574	2,578	.0	.26	.0	.26	.0	2,603	.0	.0	.0	.57	09/01/2042	1
3138M7-W2-7	FN AP4264 - RMBS		09/01/2019	Paydown		3,216	3,216	3,179	3,184	.0	.32	.0	.32	.0	3,216	.0	.0	.0	.64	08/01/2042	1
3138MG-RH-0	FN A01387 - RMBS		09/01/2019	Paydown		141	141	139	139	.0	.1	.0	.1	.0	141	.0	.0	.0	.3	12/01/2042	1
3138MH-KQ-5	FN A02102 - RMBS		09/01/2019	Paydown		2,821	2,821	2,789	2,793	.0	.28	.0	.28	.0	2,821	.0	.0	.0	.50	12/01/2042	1
3138MN-2Y-5	FN A07090 - RMBS		09/01/2019	Paydown		174	174	172	172	.0	.2	.0	.2	.0	174	.0	.0	.0	.3	12/01/2042	1
3138MN-A3-4	FN A06325 - RMBS		09/01/2019	Paydown		192	192	190	190	.0	.2	.0	.2	.0	192	.0	.0	.0	.4	11/01/2042	1
3138MN-AS-9	FN A06316 - RMBS		09/01/2019	Paydown		257	257	254	255	.0	.3	.0	.3	.0	257	.0	.0	.0	.5	12/01/2042	1
3138MP-2X-2	FN A07989 - RMBS		09/01/2019	Paydown		497	497	491	492	.0	.5	.0	.5	.0	497	.0	.0	.0	.10	12/01/2042	1
3138MQ-U3-8	FN A08381 - RMBS		09/01/2019	Paydown		384	384	380	380	.0	.4	.0	.4	.0	384	.0	.0	.0	.8	12/01/2042	1
3138MQ-WG-4	FN A08746 - RMBS		09/01/2019	Paydown		354	354	350	350	.0	.3	.0	.3	.0	354	.0	.0	.0	.7	12/01/2042	1
3138MR-2P-5	FN A09781 - RMBS		09/01/2019	Paydown		2,321	2,321	2,295	2,298	.0	.23	.0	.23	.0	2,321	.0	.0	.0	.52	12/01/2042	1
3138MR-DZ-1	FN A09119 - RMBS		09/01/2019	Paydown		304	304	300	301	.0	.3	.0	.3	.0	304	.0	.0	.0	.6	12/01/2042	1
3138MR-M7-3	FN A09381 - RMBS		09/01/2019	Paydown		201	201	199	199	.0	.2	.0	.2	.0	201	.0	.0	.0	.4	12/01/2042	1
3138MR-TS-0	FN A09560 - RMBS		09/01/2019	Paydown		5,877	5,877	5,810	5,819	.0	.58	.0	.58	.0	5,877	.0	.0	.0	124	12/01/2042	1
3138MS-A2-5	FN A09924 - RMBS		09/01/2019	Paydown		206	206	204	204	.0	.2	.0	.2	.0	206	.0	.0	.0	.4	12/01/2042	1
3138MS-A3-3	FN A09925 - RMBS		09/01/2019	Paydown		154	154	153	153	.0	.2	.0	.2	.0	154	.0	.0	.0	.3	12/01/2042	1
3138NY-U9-4	FN AR2407 - RMBS		09/01/2019	Paydown		1,698	1,698	1,681	1,681	.0	.17	.0	.17	.0	1,698	.0	.0	.0	.31	01/01/2043	1
3138W1-4Q-7	FN AR4430 - RMBS		09/01/2019	Paydown		153,812	153,812	159,321	158,321	.0	(4,510)	.0	(4,510)	.0	153,812	.0	.0	.0	3,031	03/01/2043	1
3138W9-GK-0	FN AS0201 - RMBS		09/01/2019	Paydown		111,261	111,261	112,043	112,017	.0	(756)	.0	(756)	.0	111,261	.0	.0	.0	2,148	08/01/2043	1
3138WD-6X-4	FN AS4485 - RMBS		08/26/2019	VARIOUS		94,327	93,048	96,029	95,319	.0	(184)	.0	(184)	.0	95,134	.0	(807)	(807)	1,705	02/01/2030	1
3138WD-HJ-3	FN AS3832 - RMBS		08/26/2019	VARIOUS		513,923	501,066	514,767	513,004	.0	(1,003)	.0	(1,003)	.0	512,001	.0	1,921	1,921	11,038	11/01/2029	1
3138WE-AJ-8	FN AS4508 - RMBS		08/26/2019	VARIOUS		493,139	478,664	502,149	496,456	.0	(1,259)	.0	(1,259)	.0	495,197	.0	(2,058)	(2,058)	10,555	02/01/2030	1
3138WH-R6-1	FN AS7708 - RMBS		08/26/2019	VARIOUS		231,002	224,961	231,991	231,084	.0	(455)	.0	(455)	.0	230,629	.0	373	373	4,945	08/01/2031	1
3138WJ-EQ-7	FN AS8242 - RMBS		09/01/2019	Paydown		342,325	342,325	344,371	344,109	.0	(1,784)	.0	(1,784)	.0	342,325	.0	.0	.0	5,783	11/01/2031	1
3138WU-SW-9	FN AT7160 - RMBS		09/01/2019	Paydown		30,311	30,311	31,504	31,316	.0	(1,005)	.0	(1,005)	.0	30,311	.0	.0	.0	.676	06/01/2043	1
3138X6-TX-3	FN AU6865 - RMBS		08/26/2019	VARIOUS		3,175,030	3,098,289	3,186,397	3,173,822	.0	(6,890)	.0	(6,890)	.0	3,166,932	.0	8,097	8,097	68,036	09/01/2028	1
3138Y3-BQ-3	FN AX1846 - RMBS		08/26/2019	VARIOUS		6,289,762	6,133,022	6,302,638	6,280,659	.0	(14,762)	.0	(14,762)	.0	6,265,897	.0	23,865	23,865	135,192	10/01/2029	1
3138YG-XL-1	FN AY3382 - RMBS		09/01/2019	Paydown		8,009	8,009	8,037	8,036	.0	(27)	.0	(27)	.0	8,009	.0	.0	.0	.161	04/01/2045	1
3140E9-AM-8	FN BA4511 - RMBS		09/01/2019	Paydown		212,129	212,129	221,785	221,024	.0	(8,895)	.0	(8,895)	.0	212,129	.0	.0	.0	5,019	12/01/2045	1
3140EC-MV-8	FN BA7571 - RMBS		08/26/2019	VARIOUS		626,027	607,381	627,121	624,571	.0	(1,257)	.0	(1,257)	.0	623,314	.0	2,713	2,713	13,398	08/01/2031	1
3140EI-2N-4	FN BC2580 - RMBS		08/26/2019	VARIOUS		570,924	554,619	572,211	569,911	.0	(600)	.0	(600)	.0	569,311	.0	1,612	1,612	12,229	06/01/2031	1
3140EI-SW-3	FN BC2612 - RMBS		09/01/2019	Paydown		21,799	21,799	21,775	21,728	.0	.71	.0	.71	.0	21,799	.0	.0	.0	.460	10/01/2046	1
3140F3-BU-1	FN BC7250 - RMBS		08/26/2019	VARIOUS		733,607	711,788	734,921	731,951	.0	(1,665)	.0	(1,665)	.0	730,285	.0	3,322	3,322	15,694	09/01/2031	1
3140F3-C3-0	FN BC7289 - RMBS		09/01/2019	Paydown		10,254	10,254	10,236	10,221	.0	.33	.0	.33	.0	10,254	.0	.0	.0	.226	10/01/2046	1
3140F9-2B-0	FN BD2569 - RMBS		08/26/2019	VARIOUS		244,690	237,400	245,115	244,113	.0	.271	.0	.271	.0	244,384	.0	.307	.307	5,236	07/01/2031	1
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STATEMENT AS OF SEPTEMBER 30, 2019 OF THE Humana Health Plan Inc.

SCHEDULE D - PART 4

Show All Long-Term Bonds and Stock Sold, Redeemed or Otherwise Disposed of During the Current Quarter

1	2	3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Ident- ification	Description	For- eign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consid- eration	Par Value	Actual Cost	Prior Year Book/ Adjusted Carrying Value	Unrealized Valuation Increase/ (Decrease)	Current Year's (Amor- tization)/ Accretion	Current Year's Temporary Impairment Recog- nized	Total Change in Book/ Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book /Adjusted Carrying Value	Book/ Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/ Stock Dividends Received During Year	Stated Con- tractual Maturity Date	NAIC Desig- nation and Admini- strative Symbol /Market Indicator (a)
..3140FG-FE-4	FN BD8264 - RMBS		08/26/2019	VARIOUS		203,311	197,268	203,679	202,856	.0	(.211)	.0	(.211)	.0	202,645	.0	.666	.666	4,350	09/01/2031	1FE
..3140FG-GU-7	FN BD8310 - RMBS		08/26/2019	VARIOUS		203,302	197,261	203,672	202,858	.0	(.532)	.0	(.532)	.0	202,326	.0	.976	.976	4,350	11/01/2031	1FE
..3140FH-H6-7	FN BD9252 - RMBS		08/26/2019	VARIOUS		901,472	874,613	903,038	899,411	.0	(1,526)	.0	(1,526)	.0	897,885	.0	3,587	3,587	19,336	10/01/2031	1FE
..3140FK-RL-6	FN BE0490 - RMBS		08/26/2019	VARIOUS		466,505	454,762	468,831	467,038	.0	(1,230)	.0	(1,230)	.0	465,807	.0	.698	.698	9,967	10/01/2031	1FE
..3140FK-RZ-5	FN BE0503 - RMBS		08/26/2019	VARIOUS		453,419	441,797	455,465	453,723	.0	(1,524)	.0	(1,524)	.0	452,198	.0	1,221	1,221	9,699	10/01/2031	1FE
..3140FK-S3-5	FN BE0537 - RMBS		09/01/2019	Paydown		17,317	17,317	17,289	17,261	.0	.56	.0	.56	.0	17,317	.0	.0	.0	.370	11/01/2046	1FE
..3140FM-JN-7	FN BE2068 - RMBS		08/26/2019	VARIOUS		722,809	701,298	724,090	721,199	.0	(1,005)	.0	(1,005)	.0	720,195	.0	2,615	2,615	15,468	11/01/2031	1FE
..3140FM-JU-1	FN BE2074 - RMBS		08/26/2019	VARIOUS		1,388,164	1,350,762	1,392,552	1,387,256	.0	(2,882)	.0	(2,882)	.0	1,384,374	.0	3,790	3,790	29,792	11/01/2031	1FE
..3140FM-QU-3	FN BE2266 - RMBS		08/26/2019	VARIOUS		293,962	285,700	294,985	293,807	.0	(865)	.0	(865)	.0	292,942	.0	1,020	1,020	6,226	11/01/2031	1FE
..3140FM-V8-6	FN BE2438 - RMBS		08/26/2019	VARIOUS		205,507	199,659	206,148	205,324	.0	(.569)	.0	(.569)	.0	204,756	.0	.751	.751	4,403	11/01/2031	1FE
..3140J5-NU-9	FN BM1302 - RMBS		09/01/2019	Paydown		78,808	78,808	78,995	78,990	.0	(.182)	.0	(.182)	.0	78,808	.0	.0	.0	.0	02/01/2047	1FE
..3140J6-FA-0	FN BM1960 - RMBS		09/01/2019	Paydown		1,190,274	1,190,274	1,233,886	1,232,668	.0	(42,395)	.0	(42,395)	.0	1,190,274	.0	.0	.0	27,807	10/01/2047	1FE
..3140J7-K4-6	FN BM3014 - RMBS		09/01/2019	Paydown		353,095	353,095	365,342	364,909	.0	(11,815)	.0	(11,815)	.0	353,095	.0	.0	.0	8,215	02/01/2045	1FE
..31416X-AL-4	FN AB1810 - RMBS		09/01/2019	Paydown		57,285	57,285	60,789	60,410	.0	(3,125)	.0	(3,125)	.0	57,285	.0	.0	.0	1,600	11/01/2040	1FE
..31416Y-6Q-6	FN AB3578 - RMBS		09/01/2019	Paydown		157,296	157,296	165,947	165,368	.0	(8,072)	.0	(8,072)	.0	157,296	.0	.0	.0	4,475	09/01/2041	1FE
..31416Y-YN-2	FN AB3416 - RMBS		09/01/2019	Paydown		17,098	17,098	18,065	18,000	.0	(902)	.0	(902)	.0	17,098	.0	.0	.0	.477	08/01/2041	1FE
..31416Y-YV-4	FN AB3423 - RMBS		08/26/2019	VARIOUS		1,102,857	1,020,004	1,109,892	1,100,212	.0	(4,235)	.0	(4,235)	.0	1,095,977	.0	6,880	6,880	33,710	08/01/2041	1FE
..31417A-JK-6	FN AB3865 - RMBS		09/01/2019	Paydown		11,591	11,591	12,368	12,306	.0	(.716)	.0	(.716)	.0	11,591	.0	.0	.0	.267	11/01/2041	1FE
..31417C-JL-0	FN AB5666 - RMBS		09/01/2019	Paydown		16,018	16,018	16,569	16,547	.0	(.529)	.0	(.529)	.0	16,018	.0	.0	.0	.352	07/01/2042	1FE
..31417C-QQ-1	FN AB5862 - RMBS		09/01/2019	Paydown		295	295	292	292	.0	.3	.0	.3	.0	295	.0	.0	.0	.6	08/01/2042	1FE
..31417D-4F-7	FN AB7121 - RMBS		09/01/2019	Paydown		3,601	3,601	3,560	3,565	.0	.35	.0	.35	.0	3,601	.0	.0	.0	.69	12/01/2042	1FE
..31417E-WF-4	FN AB7845 - RMBS		09/01/2019	Paydown		34,587	34,587	35,473	35,368	.0	(.781)	.0	(.781)	.0	34,587	.0	.0	.0	.714	02/01/2043	1FE
..31417G-SW-2	FN AB9860 - RMBS		09/01/2019	Paydown		6,025	6,025	5,989	5,990	.0	.36	.0	.36	.0	6,025	.0	.0	.0	.114	07/01/2043	1FE
..31418C-SF-2	FN MA3217 - RMBS		09/01/2019	Paydown		100,785	100,785	100,691	100,697	.0	.89	.0	.89	.0	100,785	.0	.0	.0	1,683	12/01/2032	1FE
..57584X-XN-6	MASSACHUSETTS ST DEV FIN AGY REV		08/22/2019	PERSHING LLC		754,820	730,000	837,967	774,932	.0	(18,990)	.0	(18,990)	.0	755,942	.0	(1,122)	(1,122)	40,657	07/15/2020	1FE
..57584X-XQ-9	MASSACHUSETTS ST DEV FIN AGY REV		08/22/2019	FIDELITY		813,191	730,000	886,468	827,714	.0	(17,742)	.0	(17,742)	.0	809,971	.0	3,219	3,219	40,657	07/15/2022	1FE
..57584X-XZ-9	MASSACHUSETTS ST DEV FIN AGY REV		08/22/2019	Stifel Nicolaus & Co. JP MORGAN SECS INC., -		186,438	150,000	188,568	180,522	.0	(2,461)	.0	(2,461)	.0	178,061	.0	8,377	8,377	8,354	07/15/2031	1FE
..646066-QV-5	NEW JERSEY ST EDL FACS AUTH REV		08/22/2019	FIXED INCOME		724,141	630,000	781,679	726,211	.0	(13,559)	.0	(13,559)	.0	712,651	.0	11,490	11,490	36,313	07/01/2023	1FE
..647310-W8-0	NEW MEXICO ST SEVERANCE TAX		08/22/2019	PERSHING LLC		1,247,650	1,000,000	1,270,310	1,214,178	.0	(.77)	.0	(.77)	.0	1,196,734	.0	50,916	50,916	57,639	07/01/2026	1FE
..71781X-OP-5	PHILADELPHIA PA AUTH FOR INDL DEV REVS		08/15/2019	WELLS FARGO, N.A./SIG		342,734	290,000	331,682	327,718	.0	(2,345)	.0	(2,345)	.0	325,374	.0	17,360	17,360	11,600	05/01/2031	2FE
..71781X-DR-1	PHILADELPHIA PA AUTH FOR INDL DEV REVS		08/15/2019	WELLS FARGO, N.A./SIG JP MORGAN SECS INC., -		363,363	310,000	351,466	347,541	.0	(2,322)	.0	(2,322)	.0	345,219	.0	18,144	18,144	12,400	05/01/2033	2FE
..71781X-DS-9	PHILADELPHIA PA AUTH FOR INDL DEV REVS		08/15/2019	FIXED INCOME JP MORGAN SECS INC., -		210,262	180,000	203,269	201,070	.0	(1,300)	.0	(1,300)	.0	199,771	.0	10,491	10,491	7,200	05/01/2034	2FE
..71781X-DU-4	PHILADELPHIA PA AUTH FOR INDL DEV REVS		08/15/2019	FIXED INCOME JP MORGAN SECS INC., -		175,101	150,000	168,185	166,473	.0	(.1,012)	.0	(.1,012)	.0	165,461	.0	9,640	9,640	6,000	05/01/2036	2FE
..71781X-DV-2	PHILADELPHIA PA AUTH FOR INDL DEV REVS		08/15/2019	FIXED INCOME		256,113	220,000	246,085	243,633	.0	(1,449)	.0	(1,449)	.0	242,183	.0	13,930	13,930	8,800	05/01/2023	2FE
..735389-A9-9	PORT SEATTLE WASH REV		08/22/2019	PERSHING LLC		838,124	740,000	872,800	842,216	.0	(14,889)	.0	(14,889)	.0	827,326	.0	10,798	10,798	30,319	05/01/2037	1FE
..735389-B2-3	PORT SEATTLE WASH REV		08/22/2019	PERSHING LLC		1,086,984	930,000	1,113,554	1,078,058	.0	(17,303)	.0	(17,303)	.0	1,060,755	.0	26,229	26,229	38,104	05/01/2024	1FE
..735389-B3-1	PORT SEATTLE WASH REV		08/22/2019	RAYMOND JAMES & ASSOCIATES		1,216,197	1,020,000	1,233,884	1,198,445	.0	(17,299)	.0	(17,299)	.0	1,181,146	.0	35,051	35,051	41,792	05/01/2025	1FE
..735389-B4-9	PORT SEATTLE WASH REV		08/22/2019	NATIONAL FINL SVCS CORP.		439,751	360,000	438,383	427,086	.0	(5,522)	.0	(5,522)	.0	421,565	.0	18,186	18,186	14,750	05/01/2026	1FE
..735389-ZJ-0	PORT SEATTLE WASH REV		08/22/2019	MORGAN STANLEY CO		593,001	540,000	624,505	600,637	.0	(11,605)	.0	(11,605)	.0	589,032	.0	3,969	3,969	22,125	05/01/2022	1FE
..735389-ZL-5	PORT SEATTLE WASH REV		08/22/2019	PERSHING LLC JP MORGAN SECS INC., -		1,390,991	1,190,000	1,424,870	1,379,451	.0	(22,140)	.0	(22,140)	.0	1,357,311	.0	33,680	33,680	48,757	05/01/2024	1FE
..79574C-CH-4	SALT RIV PROJ AGRIC IMPT & PIIR DIST ARIZ		08/22/2019	FIXED INCOME CITIGROUP GLOBAL MARKETS INC.		863,713	740,000	886,379	860,798	.0	(15,229)	.0	(15,229)	.0	845,569	.0	18,144	18,144	42,653	01/01/2024	1FE
..880443-HZ-2	TENNESSEE ENERGY ACQUISITION CORP GAS RE		08/22/2019	PERSHING LLC		1,093,365	1,010,000	1,100,143	1,082,131	.0	(10,386)	.0	(10,386)	.0	1,071,744	.0	21,621	21,621	33,106	05/01/2048	1FE
..92817T-GB-6	VIRGINIA ST PUB SCH AUTH SPL OBLIG PRINC		08/22/2019	M T SECURITIES INC		585,076	525,000	638,962	591,426	.0	(11,831)	.0	(11,831)	.0	579,594	.0	5,481	5,481	28,073	08/01/2022	1FE
..92817T-GC-4	VIRGINIA ST PUB SCH AUTH SPL OBLIG PRINC		08/22/2019	Bank of America Securities		546,459	475,000	588,221	547,925	.0	(10,054)	.0	(10,054)	.0	537,870	.0	8,589	8,589	25,399	08/01/2023	1FE
..92817T-GD-2	VIRGINIA ST PUB SCH AUTH SPL OBLIG PRINC		08/22/2019	Bank of America Securities		1,255,439	1,055,000	1,325,017	1,241,565	.0	(20,875)	.0	(20,875)	.0	1,220,690	.0	34,749	34,749	56,413	08/01/2024	1FE
..92818F-BB-0	VIRGINIA ST PUB SCH AUTH SPL OBLIG MONTG		08/22/2019	Bank of America Securities		765,870	700,000	828,464	776,882	.0	(15,973)	.0	(15,973)	.0	760,909	.0	4,961	4,961	37,431	02/01/2022	1FE

STATEMENT AS OF SEPTEMBER 30, 2019 OF THE Humana Health Plan Inc.

SCHEDULE D - PART 4

Show All Long-Term Bonds and Stock Sold, Redeemed or Otherwise Disposed of During the Current Quarter

1	2	3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22	
CUSIP Ident- ification	Description	For- eign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consid- eration	Par Value	Actual Cost	Prior Year Book/ Adjusted Carrying Value	11	12	13	14	15	Book/ Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/ Stock Dividends Received During Year	Stated Con- tractual Maturity Date	NAIC Desig- nation and Admini- strative Symbol /Market Indicator (a)	
92818F-BC-8	VIRGINIA ST PUB SCH AUTH SPL OBLIG MONTG		08/22/2019	Bank of America Securities		967,655	855,000	1,034,456	974,518	0	(18,587)	0	(18,587)	0	955,931	0	11,724	11,724	45,719	02/01/2023	1FE	
92818F-BE-4	VIRGINIA ST PUB SCH AUTH SPL OBLIG MONTG		08/22/2019	Bank of America Securities		1,243,169	1,030,000	1,288,046	1,224,280	0	(19,839)	0	(19,839)	0	1,204,441	0	38,727	38,727	55,076	02/01/2025	1FE	
956622-K3-7	WEST VIRGINIA ST HOSP FIN AUTH HOSP REV		08/22/2019	M T SECURITIES INC		3,032,392	2,535,000	3,177,318	3,005,862	0	(45,244)	0	(45,244)	0	2,960,618	0	71,775	71,775	93,302	06/01/2025	1FE	
31999999. Subtotal - Bonds - U.S. Special Revenues						80,365,030	75,494,004	82,247,619	80,841,349	0	(822,783)	0	(822,783)	0	80,018,566	0	346,464	346,464	2,252,259	XXX	XXX	
00130H-BT-1	AES CORP		08/30/2019	Call @ 101.62 DAIWA SECURITIES AMERICA INC		88,414	87,000	88,827	85,043	3,376	(228)	0	3,149	0	88,191	0	223	223	2,336	05/15/2023	3FE	
02079K-AC-1	ALPHABET INC		08/22/2019			3,009,630	3,000,000	2,937,570	2,951,231	0	3,887	0	3,887	0	2,955,117	0	54,513	54,513	61,772	08/15/2026	1FE	
05565E-AF-2	BMW US CAPITAL LLC	C	08/22/2019	RBC CAPITAL MARKETS US BANCORP INVESTMENTS INC		1,271,137	1,275,000	1,271,800	1,273,485	0	438	0	438	0	1,273,924	0	(2,787)	(2,787)	22,313	04/11/2021	1FE	
05565E-AM-7	BMW US CAPITAL LLC	C	08/22/2019			9,963,800	10,000,000	9,969,100	9,978,534	0	2,971	0	2,971	0	9,981,505	0	(17,705)	(17,705)	213,125	09/15/2023	1FE	
05946X-BV-4	BAFC 031 A1 - CMO/RMBS		09/01/2019	Paydown BONY/TORONTO DOMINION SECURITI		264	264	270	268	0	(4)	0	(4)	0	264	0	0	0	11	05/20/2033	1FM	
06406F-AB-9	BANK OF NEW YORK MELLON CORP		08/22/2019	BONY/TORONTO DOMINION SECURITI		2,863,797	2,865,000	2,863,653	2,864,321	0	210	0	210	0	2,864,531	0	(734)	(734)	47,802	05/03/2021	1FE	
17401Q-AJ-0	CITIZENS BANK NA		08/22/2019	BONY/TORONTO DOMINION SECURITI		760,068	760,000	759,301	759,660	0	161	0	161	0	759,821	0	247	247	12,540	05/26/2020	2FE	
22822V-AD-3	CROWN CASTLE INTERNATIONAL CORP		08/22/2019	BARCLAYS CAPITAL INC FIXED INC		1,622,205	1,625,000	1,624,545	1,624,728	0	82	0	82	0	1,624,810	0	(2,605)	(2,605)	36,055	09/01/2021	2FE	
319963-BN-3	FIRST DATA CORP		07/31/2019	Call @ 102.69 BONY/TORONTO DOMINION SECURITI		636,666	620,000	650,027	609,150	34,464	(12,880)	0	21,584	0	630,734	0	5,931	5,931	32,214	08/15/2023	3FE	
380881-CP-5	GCCT 152A A - ABS	A	08/22/2019	RAYMOND JAMES & ASSOCIATES BARCLAYS CAPITAL INC		4,997,461	5,000,000	4,999,181	4,999,613	0	194	0	194	0	4,999,807	0	(2,347)	(2,347)	70,419	04/15/2022	1FE	
61237W-AB-2	MONTEFIORE MEDICAL CENTER		08/22/2019	RAYMOND JAMES & ASSOCIATES BARCLAYS CAPITAL INC		3,529,262	3,555,000	3,555,000	3,555,000	0	0	0	0	0	3,555,000	0	(25,738)	(25,738)	67,341	10/20/2026	1FE	
654740-AS-8	NISSAN MOTOR ACCEPTANCE CORP	C	08/22/2019			2,224,103	2,250,000	2,245,725	2,247,613	0	583	0	583	0	2,248,196	0	(24,093)	(24,093)	40,613	09/14/2021	1FE	
717081-DZ-3	PFIZER INC		08/22/2019	WELLS FARGO SECURITIES Paydown		12,079,560	12,000,000	11,989,080	11,993,488	0	1,480	0	1,480	0	11,994,968	0	84,592	84,592	184,067	12/15/2021	1FE	
85208N-AA-8	SPRINTS 161 A1 - ABS		09/20/2019	Bank of America Securities		30,313	30,313	30,312	30,312	0	1	0	1	0	30,313	0	0	0	764	03/20/2023	2FE	
904764-AU-1	UNILEVER CAPITAL CORP	C	08/22/2019			993,970	1,000,000	984,170	987,693	0	991	0	991	0	988,684	0	5,286	5,286	21,556	07/28/2026	1FE	
38999999. Subtotal - Bonds - Industrial and Miscellaneous (Unaffiliated)						44,070,648	44,067,577	43,968,560	43,960,139	37,841	(2,114)	0	35,727	0	43,995,866	0	74,782	74,782	812,925	XXX	XXX	
83999997. Total - Bonds - Part 4						197,320,604	185,521,581	205,906,525	198,315,853	37,841	(2,235,233)	0	(2,197,392)	0	196,118,461	0	1,202,144	1,202,144	5,708,305	XXX	XXX	
83999998. Total - Bonds - Part 5						XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
83999999. Total - Bonds						197,320,604	185,521,581	205,906,525	198,315,853	37,841	(2,235,233)	0	(2,197,392)	0	196,118,461	0	1,202,144	1,202,144	5,708,305	XXX	XXX	
89999997. Total - Preferred Stocks - Part 4						0	XXX	0	0	0	0	0	0	0	0	0	0	0	0	0	XXX	XXX
89999998. Total - Preferred Stocks - Part 5						XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
89999999. Total - Preferred Stocks						0	XXX	0	0	0	0	0	0	0	0	0	0	0	0	0	XXX	XXX
97999997. Total - Common Stocks - Part 4						0	XXX	0	0	0	0	0	0	0	0	0	0	0	0	0	XXX	XXX
97999998. Total - Common Stocks - Part 5						XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
97999999. Total - Common Stocks						0	XXX	0	0	0	0	0	0	0	0	0	0	0	0	0	XXX	XXX
98999999. Total - Preferred and Common Stocks						0	XXX	0	0	0	0	0	0	0	0	0	0	0	0	0	XXX	XXX
99999999 - Totals						197,320,604	XXX	205,906,525	198,315,853	37,841	(2,235,233)	0	(2,197,392)	0	196,118,461	0	1,202,144	1,202,144	5,708,305	XXX	XXX	

(a) For all common stock bearing the NAIC market indicator "U" provide: the number of such issues.....0

Schedule DB - Part A - Section 1 - Options, Caps, Floors, Collars, Swaps and Forwards Open

**N O N E**

Schedule DB - Part B - Section 1 - Futures Contracts Open

**N O N E**

Schedule DB - Part B - Section 1B - Brokers with whom cash deposits have been made

**N O N E**

Schedule DB - Part D - Section 1 - Counterparty Exposure for Derivative Instruments Open

**N O N E**

Schedule DB - Part D-Section 2 - Collateral for Derivative Instruments Open - Pledged By

**N O N E**

Schedule DB - Part D-Section 2 - Collateral for Derivative Instruments Open - Pledged To

**N O N E**

Schedule DL - Part 1 - Reinvested Collateral Assets Owned

**N O N E**

Schedule DL - Part 2 - Reinvested Collateral Assets Owned

**N O N E**

SCHEDULE E - PART 1 - CASH

Month End Depository Balances

1	2	3	4	5	Book Balance at End of Each Month During Current Quarter			9
					6	7	8	
					First Month	Second Month	Third Month	
Depository	Code	Rate of Interest	Amount of Interest Received During Current Quarter	Amount of Interest Accrued at Current Statement Date				*
US BANK ..... St. Louis, MO .....		0.000	0	0	6,151,147	7,572,842	7,248,115	XXX
WELLS FARGO ..... Atlanta , GA .....		0.000	0	0	(8,404,034)	(7,448,191)	(9,862,398)	XXX
BB&T ..... Louisville, KY .....		0.000	0	0	11,052,016	11,421,135	13,161,994	XXX
CITIBANK ..... New Castle , DE .....		0.000	0	0	8,035	12,416	63,909	XXX
FIFTH THIRD ..... Nashville, TN .....		0.000	0	0	13,849,276	14,718,521	10,455,277	XXX
JP MORGAN CHASE ..... New York , NY .....		0.000	0	0	1,284,271	1,070,355	1,260,939	XXX
JP Morgan Time Deposit ..... New York , NY .....		1.850	11,463	0	12,377,200	1,823,354	5,857,424	XXX
0199998. Deposits in ... 0 depositories that do not exceed the allowable limit in any one depository (See instructions) - Open Depositories	XXX	XXX	0	0	0	0	0	XXX
0199999. Totals - Open Depositories	XXX	XXX	11,463	0	36,317,911	29,170,432	28,185,259	XXX
0299998. Deposits in ... 0 depositories that do not exceed the allowable limit in any one depository (See instructions) - Suspended Depositories	XXX	XXX	0	0	0	0	0	XXX
0299999. Totals - Suspended Depositories	XXX	XXX	0	0	0	0	0	XXX
0399999. Total Cash on Deposit	XXX	XXX	11,463	0	36,317,911	29,170,432	28,185,259	XXX
0499999. Cash in Company's Office	XXX	XXX	XXX	XXX	0	0	0	XXX
.....								
.....								
.....								
.....								
.....								
0599999. Total - Cash	XXX	XXX	11,463	0	36,317,911	29,170,432	28,185,259	XXX

## SCHEDULE E - PART 2 - CASH EQUIVALENTS

Show Investments Owned End of Current Quarter

[illegible]